

Exhibit C

PaineWebber EDGE Trading

Release 1.0 Functional Specification

Document Version 1.3

November 2, 1998

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1**Introduction**

The purpose of this document is to define the functionality of the pages that will constitute Release 1.0 of online trading via the PaineWebber EDGE Internet site. These pages and their requirements are also important for the work required on the backend of the service where the trade moves from the Internet into PaineWebber for processing.

Reality Online Inc. is a wholly owned subsidiary of Reuters and is in the business of creating Internet online trading sites for brokerage firms and leveraging Reuters news and financial data to add value to those sites. Reality has been working closely with PaineWebber over the last two years to define, develop and deploy the EDGE.

1.1. Reality Online Contacts

Rick Bunker, President. 610-650-8600 x8508. Handles the business issues between PaineWebber and Reality Online. Rick's email address is rbunker@money.net.

Eric Lee Smith, Vice President of Software Design. 215-844-9082. Eric handles the user-interface and overall design and presentation requirements for new Internet initiatives. Eric's email address is docsmith@ix.netcom.com.

Dave Turner, Development Project Manager. 610-650-8600 x8413. Dave leads the Reality Online development team that will implement the web site. Dave's email address is dturner@money.net.

Shirley Smith, Account Manager, 610-650-8600 x8312. Reality's account manager for the PaineWebber account. Also a brokerage subject matter expert. Shirley's email address is ssmith@money.net.

1.2. PaineWebber Contacts

Lauren Mascitelli, Senior Vice President, 201-902-4198. Lauren heads up the EDGE effort and deals with Reality Online's business issues. Her email is Laurmas@painewebber.com.

Tom McCarthy, Associate Product Manager, 201-902-4016. Tom is in charge of the next version of the EDGE and is also working with the online trading effort. Tom's email is tmccarth@painewebber.com.

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Rob Kodey, rkodey@painewebber.com

Stuart Breslow, Divisional Vice President, 201-902-6212. Stuart is the technical lead on PaineWebber's side from Reality Online's perspective. Stu's email is sbreslow@painewebber.com.

Alla Turetsky, Divisional Vice President, 201-902-5828. Alla has been assigned to the project from the mainframe systems group. Her email is aturetsk@painewebber.com.

1.3. Document Revision History

Release 1.0. October 6, 1998 – Preliminary Draft for review.

Release 1.1 October 19, 1998 – Secondary release for review. Converted trading matrices to Valid Trade tables, added Error Messages section, included additional content in the Edit section, general cleanup.

Release 1.2 October 28, 1998 – Third release. Added edits as per PaineWebber request (Section 5 of R. Kodey email dated October 20, 1998. Modify/Cancel Order section designed and added (Page 59). Added Help page screen shot (Figure 43 - Help Page). Added Delayed Quote screen shot (Figure 7 - Delayed Quote Page).

Release 1.3 November 2, 1998 – Replace screenshots of Stock Trading pages, Stock Wizard pages, Cancel & Replace recap page.

2. Project Requirements

The feature set and issues listed below are Reality's understanding of the requirements for the project release 1.0.

1. Audience. Access to EDGE Trading¹ will be restricted to those clients that have a PAA account² and access to the EDGE. The audience may be widened in the future.
2. Access. If the user has an EDGE account and a PAA account and they're enrolled for online trading, then the EDGE Trading link will appear on the navigation bar. This is the only navigation method to get to the EDGE Trading feature. PaineWebber has also requested the ability to add and remove the Demo trade links from the navigation bar so those non-online trading users can view the trading feature.
3. Accounts. The user will be able to trade through their cash and/or margin accounts.
4. Securities. The user will be able to buy and sell stocks in Release 1.0 of EDGE trading, with mutual funds included in Release 1.1. Important: This document shows the screen designs for Version 1.1.
5. No Short Sales. At least for Release 1.0.
6. No options trading. At least for Release 1.0.
7. PAA account holders are granted a certain number of trades that they may execute via the EDGE. The number of trades they receive depends on their asset level. PAA is a fee-based account and thus a PAA client is not charged for a number of trades, which varies by asset level.
8. Trades made without PAA credits are not free. The amount to be charged is a policy to be set by PaineWebber. If a PAA customer runs out of trade credits then they are charged for the trades above the limit.
9. Cancel. The user will be able to cancel perform a cancel, partial cancel, or cancel/replace.
10. Ease of use is key. The design presented in this document goes to great lengths to make the site easy to use. Step-by-step "wizards" are presented to make it easy to learn. Also included will be online help and demo trades.
11. EDGE Trading has the same look and feel as the other features of the EDGE.
12. All software will be Y2K compliant.³
13. An EDGE trading account can be associated with more than one EDGE registration ID, however only one ID can access the account at a time. In other words, two people can't trade simultaneously in the same online account.
14. Listed Equity Symbols, for purposes of Trading, are symbols of 3 or less characters. Symbols containing more than 3 characters will be considered OTC Equities.

¹ EDGE Trading is the working title for the feature and is used throughout this document rather than online trading.

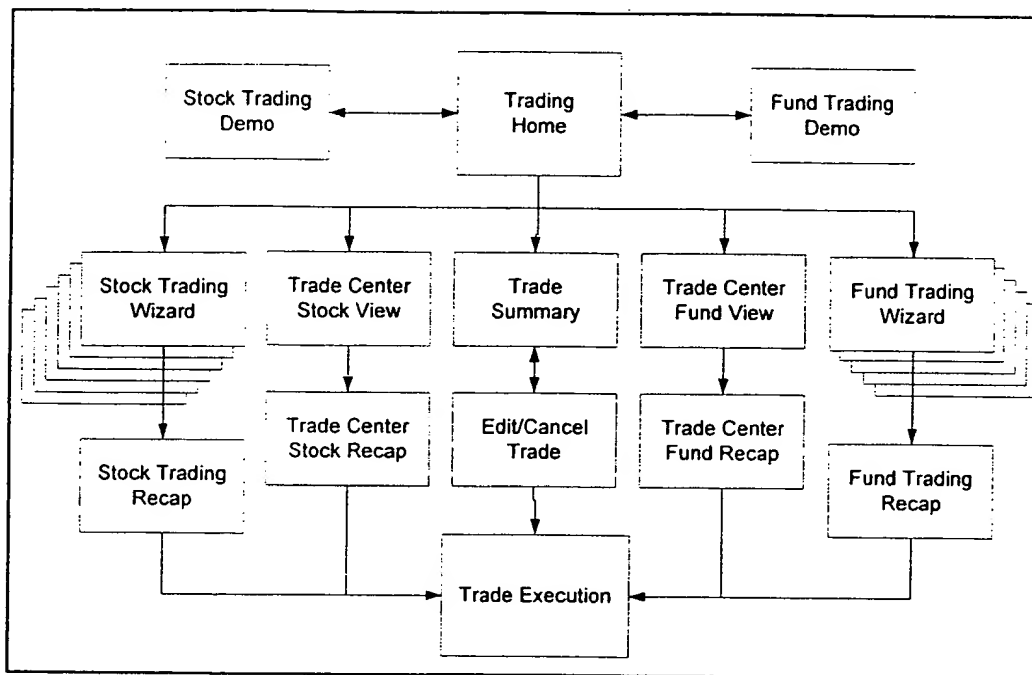
² Premier Asset Account.

³ Year 2000 compliant.

2 EDGE Trading Release 1

2.1 Trading Section Structure

2.2 Structure Diagram



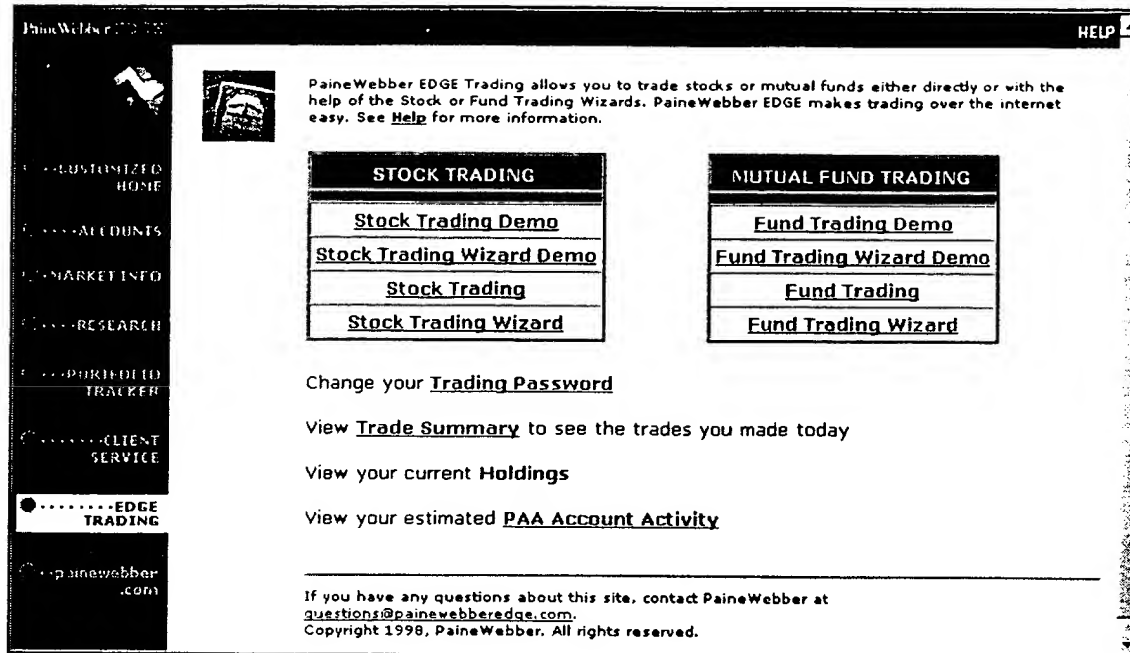
□ Figure 1 -Structure Diagram

2.3 Trading Pages Summary

1. Trading Home. The user sees when they enter the EDGE Trading section.
2. Trade Summary. This section shows the trades performed today and open orders.
3. Stock Trading Wizard. This section divides the trading process into six steps and shows them one at a time. Intended for new users.
4. Mutual Fund Wizard. Five pages, as per the stock wizard above.
5. Trading Demo Pages. For both stock and fund trading.
6. Trade Execution. This is the passage of the trade from the EDGE front-end to the PaineWebber backend systems for processing. It returns a message to the user about what happened with the trade.⁴

⁴ This is not the legal confirm. The legal confirmation will be mailed as always.

2.4 Sample Page



□ Figure 2 -Sample Page

This page shows a typical page of the EDGE trading section, in this case, the Stock Trading view. The user will be required to scroll the page when using a small monitor.⁵ This first figure shows the Trading area of the Edge within the Edge framed environment. All further figures will show only the trading frame.

2.4.1 Page Elements

Tabs. To make a fund trade, the user simply clicks on the Fund Trading "tab" to bring it forward (as shown on page 35).

Disclaimer copy. At the bottom of the page is a brief copyright notice and link to Help via email.

Drop-down lists are shown like the one below; they provide the user choices.

Select Account:

Radio buttons are used to show either/or choices, with the default shown blacked out.⁶

Transaction: ☒ Buy ☐ Sell

Entry fields are of varying widths. Text entry into such a field can scroll to the right so the user can enter in more text than can appear at once.

⁵ Vertical scrolling will be minimized as much as possible and horizontal scrolling will not be required ever.

⁶ The defaults shown in this document are not final.



Buttons will appear using the standard button appearance for Windows as shown below.⁷



2.4.2

Art Direction Issues

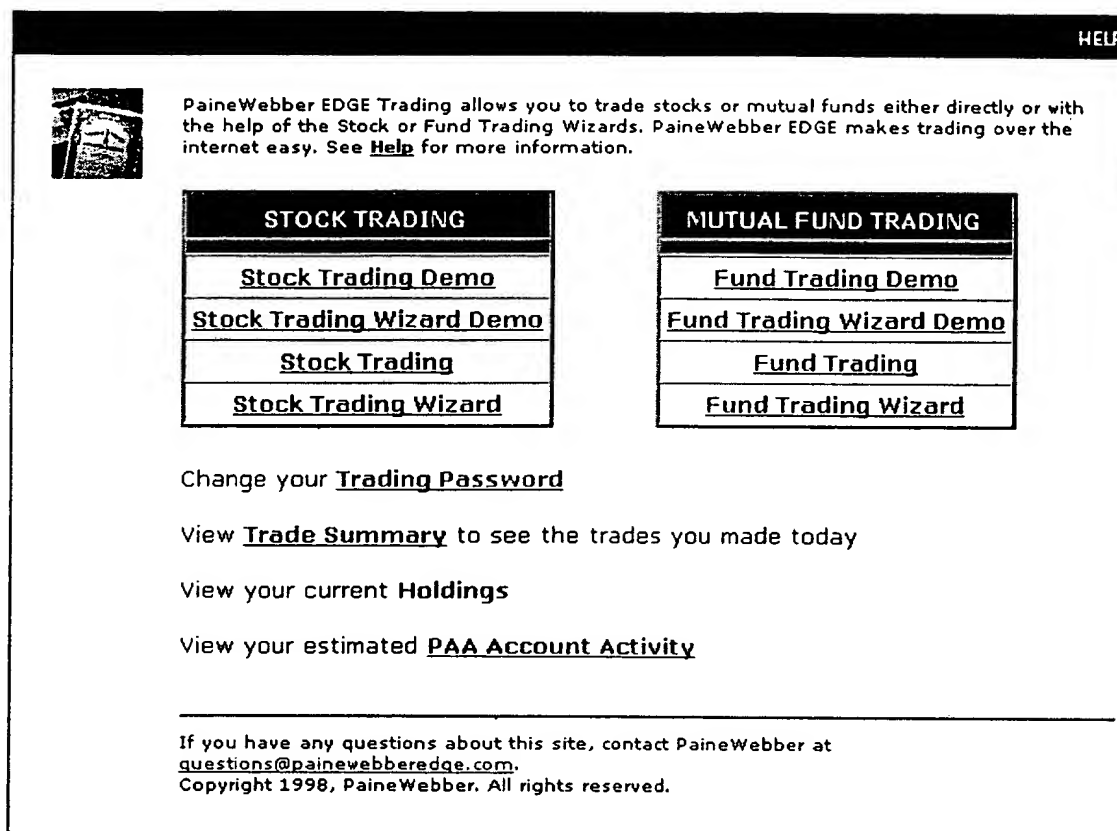
EDGE Trading has been designed to follow the graphic conventions and text standards set for the other parts of the EDGE 2.0 site.

⁷ Or Unix or the Mac, that is, it depends on the platform.

3 Trading Home Page

The Trading Home Page is the page that appears when the user clicks the EDGE Trading link on the navigation bar. The purpose of the page is to provide a table of contents to the trading features and to let the user navigate to those features.⁸

3.1 Trading Home Page Design



□ Figure 3 – Trading Home Page

3.2 Trading Home Page Functionality

The user receives a brief instructional message and a link to help. This help link is identical to the link that appears in the header

Links to separate areas of Trading are presented in two tables, Stock Trading and Mutual Fund Trading.

The Stock Trading table will contain the following links

1. Stock Trading Demo. Opens the Stock Trading Demo (section 11).
2. Stock Wizard Demo. Opens the Stock Wizard Demo (section 11).
3. Stock Trading. Opens the Stock Trading entry page (section 4).

⁸ Release 1.0 of the site will not have funds trading. Funds appear in Release 1.1.

4. **Stock Trading Wizard.** Opens the Stock Trading Wizard (section 0).

The Mutual Fund Trading table will contain the following links:

1. **Fund Trading Demo Link.** Opens the Fund Trading Demo (section 11).
2. **Fund Trading Wizard Demo.** Opens the Fund Trade Wizard Demo (section 11).
3. **Fund Trading.** Opens the Fund Trading entry page (section 7).
4. **Fund Trading Wizard.** Opens the Fund Trading Wizard (section 8).

Additional Links are provided on the page as follows:

1. **Trade Summary Link.** Opens the Trade Summary (section 10).
2. **Holdings Link.** Opens the Holding page. This page is part of the EDGE already. This link is included as a convenience.
3. **PAA Account Activity.** If the user has a PAA account, this line will appear. It links to a page which estimates the number of trades they have available (section 3.4.4).
4. At the bottom of the page will be the standard Edge Trading footer with a link to the Client Service section , and the standard copyright information.

3.3 Trading Notes

3.3.1 Eligible Clients

Trading will only be open to clients with PaineWebber clients with PAA accounts. Each PAA client receives a number of trades based on their asset level. These trades can be performed online.

3.3.2 Commissions

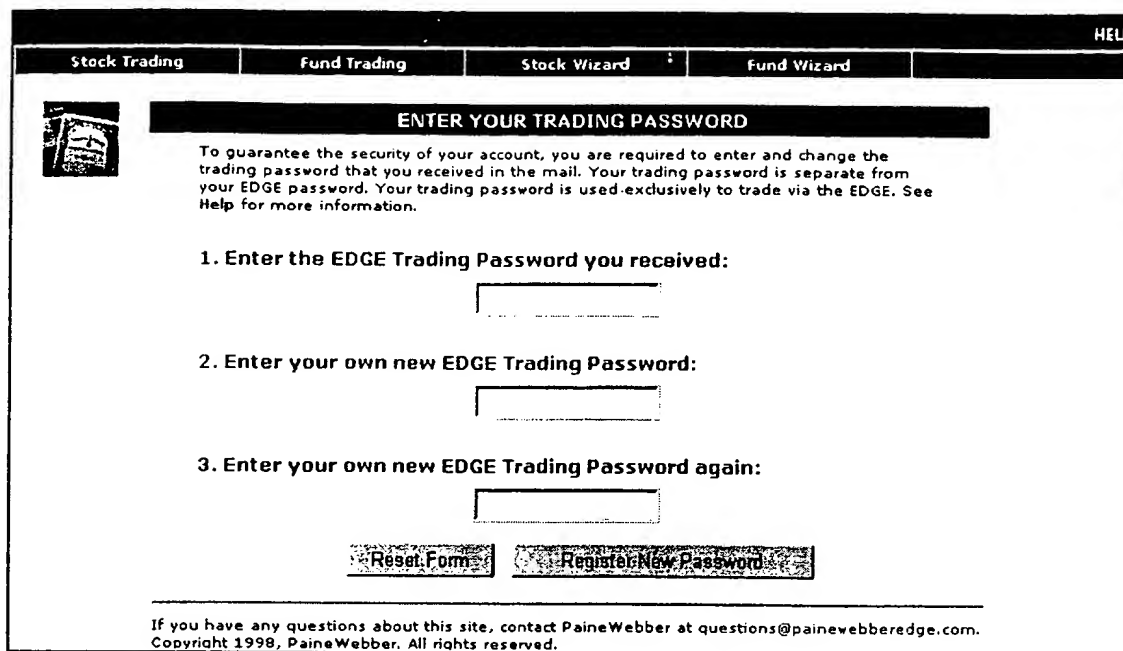
Clients will be able to trade even once their free trades are used up. The commission charged for online trades will be 25% less than the regular commission.⁹ The charge will not be reflected on the trade confirm page because of the way PAA accounting is handled by PaineWebber's accounting systems.¹⁰

3.4 Trading Passwords

⁹ Or at some other rate determined and controlled by PaineWebber.

¹⁰ For instance, the client's numbers of trades can change when they increase assets, yet this is only reflected quarterly.

3.4.1 Change Initial Password Page



ENTER YOUR TRADING PASSWORD

To guarantee the security of your account, you are required to enter and change the trading password that you received in the mail. Your trading password is separate from your EDGE password. Your trading password is used exclusively to trade via the EDGE. See Help for more information.

1. Enter the EDGE Trading Password you received:
2. Enter your own new EDGE Trading Password:
3. Enter your own new EDGE Trading Password again:

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com. Copyright 1998, PaineWebber. All rights reserved.

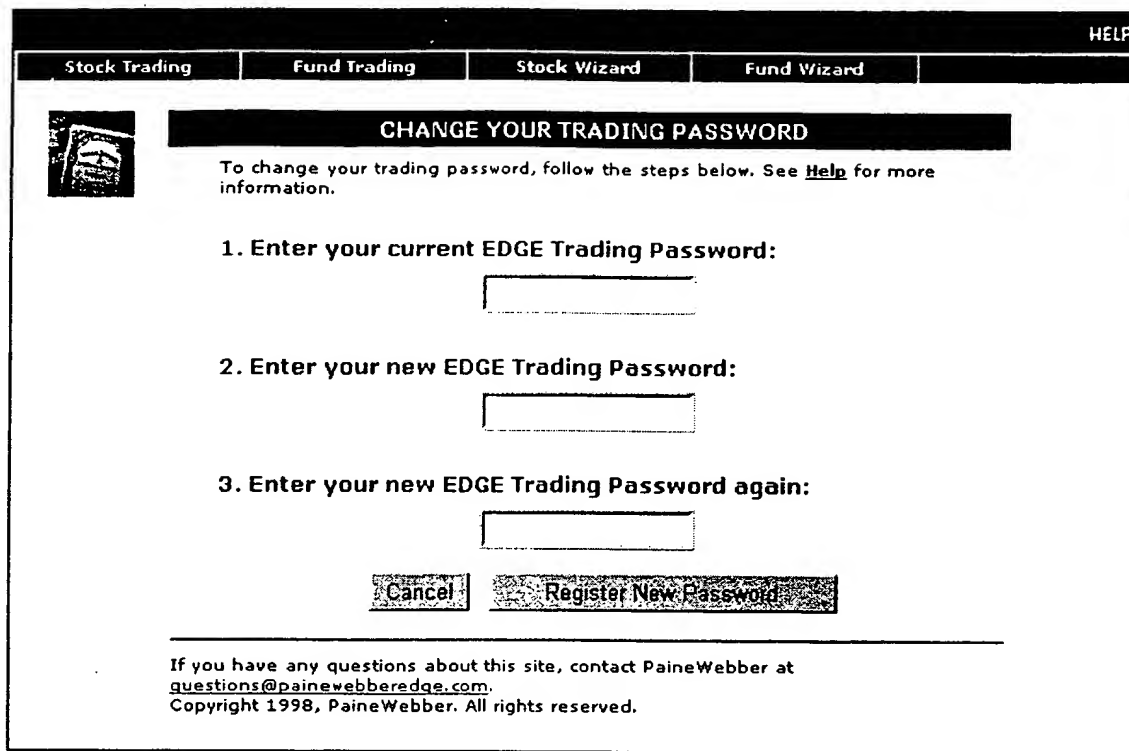
□ **Figure 4 –Change Initial Password Page**

PaineWebber will assign the user an initial trading password. The first time the user enters EDGE trading they will be required to enter this password and change it to a new one as seen in Figure 4. This is a security measure to protect user account. Thereafter the user will be required to enter their trading password to execute a trade which they will be able to change using the Change Password link on the trading home page (see Figure 3 – Trading Home Page).

The user receives a brief instructional message and a link to help. This help link is identical to the link that appears in the header. Other elements are as follows:

1. **Enter the Edge Trading password you received:** - This is a text field. The user is required to enter the password they had received from PaineWebber. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
2. **Enter your own new Edge Trading Password:** - This is a text field. The user is required to enter a new password of their choice. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
3. **Enter your own new Edge Trading Password again:** - This is a text field. The user must reenter the password they had entered into the previous field to verify the entry made. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
4. **Reset Form** – This button will clear all entries that the user has made on the page.
5. **Change Password Button** - Pressing this button will register the new password. The data entered will then be validated. If the user has been successful, they will be taken to the trading home page. If not, then they will be taken back to the Change Password page. A message will appear at the top of this page to inform them that the change was unsuccessful, and to retry. If the user attempts to change the assigned password and fails three attempts in a row, then that password will be locked and the user will not be able to submit a trade. An error message will appear informing the user to call PaineWebber to place the order or call the Service Center to have their password either "unlocked", reset, or have a new password assigned.

3.4.2 Change Password Page



CHANGE YOUR TRADING PASSWORD

To change your trading password, follow the steps below. See [Help](#) for more information.

1. Enter your current EDGE Trading Password:
2. Enter your new EDGE Trading Password:
3. Enter your new EDGE Trading Password again:

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.
Copyright 1998, PaineWebber. All rights reserved.

□ Figure 5 – Change Trading Password Page

This page allows the user to change their existing Edge Trading Password.

3.4.3 Change Trading Password Page Functionality


The user receives a brief instructional message and a link to help. This help link is identical to the link that appears in the header. Other elements are as follows:

1. **Enter your current Edge Trading password:** - This is a text field. The user is required to enter their current password. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
2. **Enter your new Edge Trading Password:** - This is a text field. The user is required to enter a new password of their choice. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
3. **Enter your own new Edge Trading Password again:** - This is a text field. The user must reenter the password they had entered into the previous field to verify the entry made. This is an alphanumeric text field with a maximum of 15 characters. The only allowable characters are letters, numbers, and the underscore character.
4. **Cancel Button** - The user may cancel entry on this page at any time by pressing the cancel button. The user will be returned to the Trading Home Page.
5. **Change Password Button** - Pressing this button will register the new password. The data entered will then be validated. If the user has been successful, they will be taken to the trading home page. If not, then they will be taken back to the Change Password page. The message "Change Password attempt was un-

successful" will appear at the top of the page. If the user attempts to change a password and fails three attempts in a row, then that password will be locked and the user will not be able to submit a trade. An error message will appear informing the user to call PaineWebber to place the order or call the Service Center to have their password either "unlocked", reset, or have a new password assigned.

6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

3.4.4 PAA Account Activity Page – section to be updated by PaineWebber

				HELP
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard	
 <p>EDGE Trading provides PAA account holders, such as yourself, the ability to execute trades online. As a PAA account holder, you receive a number of free trades each year. You may use these to trade online. Once they're expended, you may continue to trade at reduced commissions. For more information about your PAA, call your Investment Executive, or see Help.</p>				
PAA ESTIMATED ONLINE TRADING ACTIVITY				
<p>Your initial PAA Account Asset Level: \$100,000 to \$250,000</p> <p>Initial Maximum Trades: 50 Trades</p>				
<hr/> <p>Current Maximum Trades*: 30</p> <p>Trades Completed: 35</p> <p>Potential Supplemental Trades: 5</p> <p>Potential Supplemental Fee: \$2,000</p>				
<p>The values above are estimates only. Your contributions and withdrawals from your PAA account affect the number of trades, as noted in your PAA agreement. Trades are assessed on a quarterly basis, thus at the end of the quarter you may have results different from the estimate shown here. Should you have any questions, please call your Investment Executive.</p>				
<p>*Footnote copy goes here. Copy to come later.</p>				
<p>If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com. Copyright 1998, PaineWebber. All rights reserved.</p>				

□ Figure 6 – PAA Account Activity Page

This page displays current PAA Account Activity for the user's PAA Account.

3.4.5 PAA Account Activity Page Functionality –section to be updated by PaineWebber

The data on this page is presented as static text. During the introductory paragraph the user is presented with a link to Help. This link is identical to the Help link in the header.

The following data fields are displayed:

1. Initial PAA Account Asset Level
2. Initial Maximum Trades

3. Current Maximum Trades
4. Trades Completed
5. Potential Supplemental Trades
6. Potential Supplemental Fee

Also shown will be a disclaimer regarding the displayed account information.¹¹ At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

3.4.6 Delayed Quote Page

PaineWebber EDGE[®]

Motorola

All quotes are delayed at least 20 minutes.

Symbol:	MOT	Volume	164400
Price	46 1/2	Open	46
Last:	46 1/2	Day's High	46 1/2
Change	0	Day's Low	46
% Change	0	Tick	↑
As of:	09/18/1998 09:31 am EST		

Type	Stock	Prev. Close	45 7/8
52 Wk High	67	P/E Ratio	0
52 Wk Low	38 3/8	EPS	- 1.46
Exchange	New York Composite		

Enter Symbol:

□ Figure 7 - Delayed Quote Page

¹¹ Actual text to be decided by PaineWebber.

4 Stock Trading Page

4.1 Stock Trading Entry Page


HELP

Stock Trading

Fund Trading

Stock Wizard

Fund Wizard



Click the trade tab above to trade either stocks or mutual funds.
See [Help](#) for more information.

Select Account:

Transaction: ☒ Buy ☐ Sell ☐ Sell All Duration:

Symbol:

Shares:

Order Type	Stop Price	Limit Price	Qualifier
<input checked="" type="radio"/> Market			<input type="text" value="None"/>
<input type="radio"/> Limit		<input type="text"/>	<input type="text" value="None"/>
<input type="radio"/> Stop	<input type="text"/>		<input type="text" value="None"/>
<input type="radio"/> Stop/Limit	<input type="text"/>	<input type="text"/>	<input type="text" value="None"/>

Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees?

☐ Yes ☐ No

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□ Figure 8 – Stock Trading Page 1

4.2 Stock Trading Functionality

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Select Account:** - Drop Down list box. This will be populated with the user's account number(s), from which they make a selection (Note - only accounts enabled for Trading will be shown.) If they only have one account this will be the only one shown. Account numbers will be listed in alphanumeric order. The default account number to be shown will be the first that appears in the list alphanumerically.
3. **Transaction:** - User is presented with three radio buttons from which they must choose from Buy, Sell, or Sell All. There will be no default.
4. **Duration:** - This is a drop-down list box, which presents the user with additional order qualifiers that they may choose. There is no default for this list box.

5. **Symbol:** - This is an alphanumeric text entry field, which allows the user to enter the desired stock symbol. Maximum length of this field will be 12 characters.
6. **Lookup Symbol** - This is a button that will open a pop-up window (or link to a separate page dependant on the user's browser capability). The resultant page will present the user with a list of symbols (presented as links) which corresponds to the data entered in the Enter Company Name field. Once the user selects a symbol, they will be returned to the original page, with the chosen symbol now populated within the Enter Stock Symbol field.
7. **Get Quote** - This is a button, which will open a pop- up window (or link to a separate page dependent on user's browser capability). The resultant page will provide the user with 20 min. delayed Moneynet quote information. [Due to language constraints, the user must enter the symbol on the get quote page.]
8. **Shares:** - This is a numeric text entry field, which will allow the user to enter the number of shares to be bought or sold. The maximum length of this field will be 10 characters.
9. **Order:** - This section of the page provides the user with the ability to enter/choose specific details about their order.
 - **Order type** – The user is presented with four radio buttons from which they must make a choice of Market, Limit, Stop, or Stop Limit order types.
 - **Price fields** - The price fields are alphanumeric text fields that appear next to the corresponding order type button. The user may enter a Limit, Stop, or Stop Limit price within the appropriate text field. The maximum length of this field will be 12 characters and may include a fraction (e.g. 110 1/8). This will be a mandatory field - a price must be entered for these order types.
 - **Qualifiers** - These are drop-down list boxes that will appear within the same line as each of the Order Types. The appropriate qualifiers that will populate each list are dependent on the associated order type.
10. **Solicited/Unsolicited trades.** - This is a choice of two radio buttons. They have no default. The user is required to indicate whether the trade has been solicited by a PaineWebber IE or by materials or input provided by PaineWebber.
11. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
12. **Next Step:** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields, and the proper choice of qualifiers and duration as defined within the Valid Trade tables (**Figure 10 - Listed Equity Valid Trade** or **Figure 11 - OTC Valid Trade**). If the data meets the qualifications, the user entered trade data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the second page in Stock Trading, the Recap page (section 4.6). If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message (section 13).
13. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

4.3 Stock Trading Qualifiers and Trade Types

This section shows the variables for stock buys and sells.¹² These have been provided by PaineWebber.

Abbreviation	Type	Definition
DAY	Duration	Day
GTC	Duration	Good Till Cancelled
FOK	Duration	Fill Or Kill
IOC	Duration	Immediate Or Cancel
DNR	Execution	Do Not Reduce
DNI	Execution	Do Not Increase
AON	Execution	All Or None
MKT	Price	Market Order
LMT	Price	Limit Order
STP	Price	Stop Order
ST/LM	Price	Stop/Limit Order

□ Figure 9 - Stock Buy/Sell Trade Abbreviation Definitions

Note:

- DAY, GTC, FOK and IOC are mutually exclusive states.

4.4 Listed Equity Valid Trade Table

Duration	Execution	Price	Buy	Sell
DAY		MKT	X	X
DAY		LMT	X	X
DAY		STP	X	X
DAY		STP/LMT	X	X
DAY	AON	LMT	X	X
GTC		LMT	X	X
GTC		STP	X	X
GTC		STP/LMT	X	X
GTC	DNR	LMT	X	X
GTC	DNR	STP	X	X
GTC	DNR	STP/LMT	X	X
GTC	DNI	MKT	X	X
GTC	DNI	LMT	X	X
GTC	DNI	STP	X	X
GTC	DNI	STP/LMT	X	X
GTC	AON	LMT	X	X
GTC	AON/DNR	LMT	X	X
GTC	AON/DNI	LMT	X	X

¹² Additional qualifiers are needed to support short selling, which we are not doing in this release.

FOK		LMT	X	X
IOC		MKT	X	X
IOC		LMT	X	X

□ Figure 10 - Listed Equity Valid Trade Table

4.5 OTC Valid Trade Table

Duration	Execution	Price	Buy	Sell
DAY		MKT	X	X
DAY		LMT	X	X
DAY		STP	X	X
DAY	AON	LMT	X	X
GTC		LMT	X	X
GTC		STP	X	X
GTC		STP/LMT	X	X
GTC	DNR	LMT	X	X
GTC	DNR	STP		X
GTC	DNR	STP/LMT		X
GTC	DNI	LMT	X	X
GTC	DNI	STP	X	X
GTC	DNI	STP/LMT	X	X
GTC	AON	LMT	X	X
GTC	AON/DNR	LMT	X	X
GTC	AON/DNI	LMT	X	X
FOK		LMT	X	X
IOC		MKT	X	X
IOC		LMT	X	X

□ Figure 11 - OTC Valid Trade Table

4.6 Stock Trading Recap Page


HELP

Stock Trading

Fund Trading

Stock Wizard

Fund Wizard



Once you are sure the order is correct, enter your Trading Password and click Send Trade. See [Help](#) for more information.

Motorola			
All quotes are delayed at least 20 minutes.			
Symbol:	MOT	Volume	164400
Price	46 1/2	Open	46
Last:	46 1/2	Day's High	46 1/2
Change	0	Day's Low	46
% Change	0	Tick	↑
As of:	09/18/1998 09:31 am EST		
Type	Stock	Prev. Close	45 7/8
52 Wk High	67	P/E Ratio	0
52 Wk Low	38 3/8	EPS	- 1.46
Exchange	New York Composite		

Enter your Trading Password:

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Trade Recap	
Account:	ZK 34313
Transaction:	Buy
Security:	MOT
Shares:	100
Duration:	Day
Order Type:	Market
Qualifiers:	None

□ Figure 12 - Stock Trading Recap Page

4.7 Stock Trading Recap Functionality

This is the second page the user sees during trade execution. If the user-entered data from the first page has been verified successful, then they are brought to this page.

An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.

The page will primarily consist of two visual static text tables that appear side by side.

1. **Real-Time Quote table:** - The user will be given a real-time quote for the trade symbol they had previously entered. The title field within the box will be the Symbol Description. Additional fields shown will be Symbol, Bid, Ask, Last, and As of. As of will show the date and time of the quote (Y2k compliant date).
2. **Trade Recap:** - This table will reiterate the user-entered trade data. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order Type, and Qualifiers.

Additional elements found on this page are:

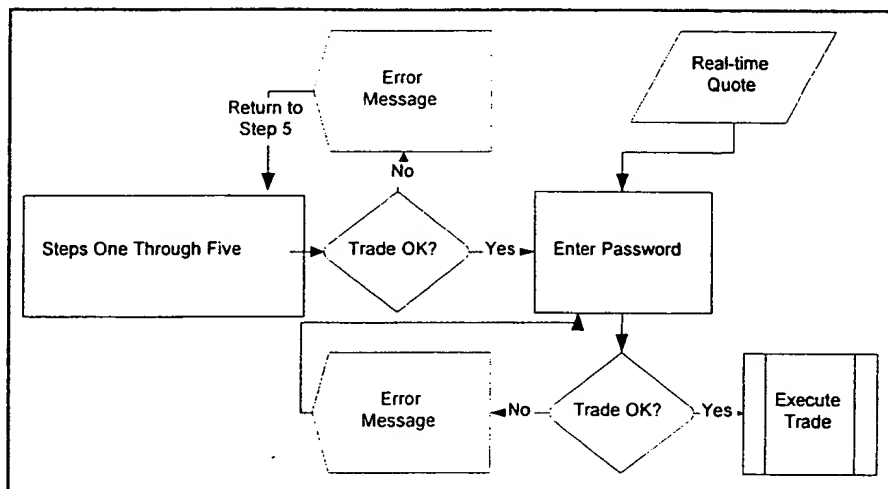
1. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
2. **Previous Step:** - This is a button. This allows the user to return to the first page of Stock Trading. All data that had been previously entered into that page will appear in their appropriate fields. The user may then edit and/or resubmit, or cancel at this point.
3. **Cancel Order:** - This is a button. This gives the user the option to cancel the trade request at this point. The user is then returned to the Trading Home page.
4. **Send Trade** - This is a button. When pressed, the trade data is sent to PaineWebber for verification and execution. If it fails, the user will receive a message to that effect, if it succeeds, then the trade is executed. Once submitted, it will be posted to the user's Trade Summary page so that it can be seen

The page will also include the standard Edge footer with the email address for user questions, and the standard Copyright information.

5 Stock Trade Wizard

The purpose of the Stock Trade Wizard is to step the user through the process of online trading one step at a time so they can get comfortable with the process.¹³

5.1 Stock Trading Wizard Flow Diagram




□ Figure 13 – Stock Trading Wizard Flow Diagram

¹³ Fear of making a "mistake" is a key reason people are hesitant to trade online.

5.2 Stock Trading Wizard Page One - Buy/Sell

						HELP
Stock Trading	Fund Trading	Stock Wizard		Fund Wizard		
Stock Trading Wizard		1 Buy/Sell	2 Symbol	3 Shares	4 Type	5 Qualifiers
			6 Password			


 Choose the account from which you would like to trade, then pick the type of trade you want to perform. See [Help](#) for more information.

Select Account:

Transaction: ☒ Buy
 Buy the stock of your choice.

☐ Sell
 Sell a stock of your choice from your holdings.

To sell short, or make another type of transaction, contact your Investment Executive.

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□ Figure 14 –Stock Trading Wizard Page 1

5.3 Stock Trading Wizard Page 1 Functionality

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Account:** - Drop Down list box. This will be populated with the user's account number(s), from which they make a selection (Note - only accounts enabled for Trading will be shown). If they only have one account this will be the only one shown. Account numbers will be listed in alphanumeric order. The default account number to be shown will be the first that appears in the list alphanumerically.
3. **Transaction:** - User is presented with three radio buttons from which they must choose from Buy, Sell, or Sell All. There will be no default.
4. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
5. **Next Step:** - This is a button, which sends the user to the next appropriate page
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

5.4 Stock Trading Wizard Page Two - Symbol

HELP						
Stock Trading	Fund Trading	Stock Wizard		Fund Wizard		
Stock Trading Wizard	1 Buy/Sell	2 Symbol	3 Shares	4 Type	5 Qualifiers	6 Password



Pick the stock you would like to trade by entering its symbol.
See [Help](#) for more information.

Enter Stock Symbol:

You can get a delayed quote by entering the symbol and clicking Get Quote.

If you don't know the symbol, you can look it up by entering the company name, or part of its name below and clicking the Lookup Symbol button.

Enter Company Name:

Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees?

☐ Yes ☐ No

Trade Recap

Account:	ZK 34313
Transaction:	Buy
Security:	-
Shares:	-
Duration:	-
Order Type:	-
Qualifiers:	-

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□ Figure 15 –Stock Trading Wizard Page 2


5.5 Stock Trading Wizard Page 2 Functionality

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Enter Stock Symbol:** - This is an alphanumeric text entry field, which allows the user to enter the desired stock symbol. Maximum length of this field will be 12 characters.
3. **Get Quote** – This is a button that will open a pop-up window (or link to a separate page dependant on the user's browser capability). The resultant page will provide the user with 20 min. delayed quote information.
4. **Enter Company Name:** - This is an alphanumeric text entry field, which allows the user to enter the name of the desired stock for purposes of retrieving the correct symbol. User must use the Lookup Symbol button to retrieve the symbol. Maximum length of this field is 32 characters.
5. **Lookup Symbol** – This is a button that will open a pop-up window (or link to a separate page dependant on the user's browser capability). The resultant page will present the user with a list of symbols (presented as links) which corresponds to the data entered in the Enter Company Name field. Once the user selects a symbol, they will be returned to the original page, with the chosen symbol now populated within the Enter Stock Symbol field.

6. **Solicited/Unsolicited trades.** - This is a choice of two radio buttons. They have no default. The user is required to indicate whether the trade has been solicited by a PaineWebber IE or by materials or input provided by PaineWebber.
7. **Previous** - This is a button, which sends the user to the previous page.
8. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
9. **Next Step:** - This is a button, which sends the user to the next appropriate page
10. **Trade Recap** - This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.
11. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

5.6 Stock Trading Wizard Page Three – Qualifiers

HELP						
Stock Trading		Fund Trading		Stock Wizard		Fund Wizard
Stock Trading Wizard		1 Buy/Sell	2 Symbol	3 Shares	4 Type	5 Qualifiers
		6 Password				



Enter the number of shares to buy or sell and the duration of the order.
See [Help](#) for more information.

Enter Shares:

Enter the number of shares you would like to buy or sell. Use whole numbers only, not fractions or decimals.

Or, if selling all of these shares, check the box below.

☐ **Sell All Shares**




Duration:

☒ **Day**
Order to be executed the day it is placed or it will expire.

☐ **Good Till Cancelled (GTC)**
GTC order remains in effect until either executed or cancelled.

☐ **Fill or Kill (FOK)**
FOK requires that your entire order be filled immediately, though not necessarily at one price. If all shares are not purchased immediately, then the entire order is cancelled.

☐ **Immediate or Cancel (IOC)**
IOC requires the immediate execution of your order, all or in part. If all shares are not purchased immediately, the remaining portion of the order is cancelled.

Trade Recap

Account:	ZK 34313
Transaction:	Buy
Security:	MOT
Shares:	-
Duration:	-
Order Type:	-
Qualifiers:	-


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□ Figure 16 -Stock Trading Wizard Page 3

5.7 Stock Trading Wizard Page 3 Functionality

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Previous** - This is a button, which sends the user to the previous page.
3. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
4. **Next Step:** - This is a button, which sends the user to the next appropriate page.
5. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

5.8 Stock Trading Wizard Page Four - Trade Type

HELP																				
Stock Trading	Fund Trading	Stock Wizard		Fund Wizard																
Stock Trading Wizard	1 Buy/Sell	2 Symbol	3 Shares	4 Type	5 Qualifiers	6 Password														
<div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 60%;">  <p>Enter the order type and any restrictions needed. See Help for more information.</p> <div style="margin-top: 10px;"> <p><input checked="" type="radio"/> Market Order Buy at the best price available at the time the order is made.</p> <p><input type="radio"/> Limit Order Buy when the stock price is at or below the price to the right. <div style="text-align: right;">Limit Price <input style="width: 80px;" type="text"/></div></p> <p><input type="radio"/> Stop Order Becomes a market order once the stock trades at or below the stop price to the right. Once activated, execution is guaranteed but not the execution price. <div style="text-align: right;">Stop Price <input style="width: 80px;" type="text"/></div></p> <p><input type="radio"/> Stop/Limit Order Becomes a limit order when the price is at or below the Stop Price and can only be executed at the Limit Price or lower. See Help for more information. <div style="text-align: right;">Stop Price <input style="width: 80px;" type="text"/> Limit Price <input style="width: 80px;" type="text"/></div></p> </div> </div> <div style="width: 35%; border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="text-align: center; margin: 0;">Trade Recap</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="padding: 2px;">Account:</td><td style="padding: 2px;">ZK 34313</td></tr> <tr><td style="padding: 2px;">Transaction:</td><td style="padding: 2px;">Buy</td></tr> <tr><td style="padding: 2px;">Security:</td><td style="padding: 2px;">MOT</td></tr> <tr><td style="padding: 2px;">Shares:</td><td style="padding: 2px;">100</td></tr> <tr><td style="padding: 2px;">Duration:</td><td style="padding: 2px;">Day</td></tr> <tr><td style="padding: 2px;">Order Type:</td><td style="padding: 2px;">-</td></tr> <tr><td style="padding: 2px;">Qualifiers:</td><td style="padding: 2px;">-</td></tr> </table> </div> </div> <div style="margin-top: 20px; text-align: center;"> << Previous Cancel Order Next Step >> </div>							Account:	ZK 34313	Transaction:	Buy	Security:	MOT	Shares:	100	Duration:	Day	Order Type:	-	Qualifiers:	-
Account:	ZK 34313																			
Transaction:	Buy																			
Security:	MOT																			
Shares:	100																			
Duration:	Day																			
Order Type:	-																			
Qualifiers:	-																			
<p>If you have any questions about this site, please go to the Client Service area. Copyright 1998, PaineWebber. All rights reserved.</p>																				

□ Figure 17 -Stock Trading Wizard Page 4


5.9 Stock Trading Wizard Page 4 Functionality

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Order Type** – The user is presented with four radio buttons from which they must choose or accept the default. The four types are Market, Limit, Stop, and Stop Limit. The default is Market.
3. **Limit Price, Stop Price, Stop Price and Limit Price** – These price fields are alphanumeric test fields that appear next to the corresponding order type radio button. The user may enter a price in the appropriate text field. The maximum length of this field will be 12 characters and may include a fraction (e.g. 110 1/8). This will be a mandatory field if the corresponding radio button has been checked – a price must be entered for these order types.
4. **Previous** - This is a button, which sends the user to the previous page.
5. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
6. **Next Step:** - This is a button, which sends the user to the next appropriate page. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.

- At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

5.10 Stock Trading Wizard Page Five – Qualifiers

HELP						
Stock Trading	Fund Trading	Stock Wizard		Fund Wizard		
Stock Trading Wizard		1 Buy/Sell	2 Symbol	3 Shares	4 Type	5 Qualifiers
		6 Password				



Select an optional trade qualifier if you desire.
See [Help](#) for more information.

☒ **None**
Select None if you do not want any further qualifier attached to your order.

☐ **All or None (AON)**
AON requires that no part of an order be executed unless all of it can be done at a specified price.

☐ **Do Not Reduce (DNR)**
DNR requires that an order NOT be reduced when a stock goes ex-dividend and its price is reduced by the amount of the dividend.

☐ **Do Not Increase (DNI)**
DNI prevents the quantity of the order from changing in the event of a stock split or dividend.

☐ **All or None/Do Not Reduce (AON/DNR)**
AON DNR signifies that no partial transaction is to be executed and it is not to be reduced. Specialists will otherwise automatically reduce all orders below the market by the amount of a cash dividend on the ex-dividend date.

☐ **All or None/Do Not Increase (AON/DNI)**
AON DNI signifies that no partial transaction is to be executed and it is not to be increased. Specialists will otherwise automatically increase all orders by the amount of a cash dividend or stock split price.

Trade Recap

Account:	ZK 34313
Transaction:	Buy
Security:	MOT
Shares:	100
Duration:	Day
Order Type:	Market
Qualifiers:	-

<< Previous
Cancel Order
Next Step >>

If you have any questions about this site, please go to the [Client Service](#) area.

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□ Figure 18 -Stock Trading Wizard Page 5

5.11 Stock Trading Wizard Page 5 Functionality

- An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
- Qualifiers** – This is a set of 6 radio buttons from which the user must choose or accept the default. The options are None, All or None, Do Not Reduce, Do Not Increase, All or None/ Do Not Reduce, All or None/ Do Not Increase
- Previous** - This is a button, which sends the user to the previous page.
- Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.

5. **Next Step:** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields, and the proper choice of qualifiers and duration as defined within the Valid Trade Tables (see **Figure 10 - Listed Equity Valid Trade**, **Figure 11 - OTC Valid Trade Table**). If the data meets the qualifications, the user entered trade data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the second page in the Trade Center, the Recap page (section 4.6). If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message (section 13).
6. **Trade Recap** - This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.
7. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

5.12 Stock Trading Wizard Page Six - Password

HELP																																																																			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard																																																																
<div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> Stock Trading Wizard 1 Buy/Sell 2 Symbol 3 Shares 4 Type 5 Qualifiers 6 Password </div>																																																																			
<div style="display: flex; justify-content: space-between;"> <div style="width: 15%;">  </div> <div style="width: 85%;"> <p>Read the Order Recap carefully. Once you are sure the order is correct, enter your Trading Password and click Send Trade. See Help for more information.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="4" style="text-align: center;">Motorola</th> </tr> <tr> <th colspan="4" style="text-align: center;">All quotes are delayed at least 20 minutes.</th> </tr> </thead> <tbody> <tr> <td>Symbol:</td> <td>MOT</td> <td>Volume</td> <td>164400</td> </tr> <tr> <td>Price</td> <td>46 1/2</td> <td>Open</td> <td>46</td> </tr> <tr> <td>Last:</td> <td>46 1/2</td> <td>Day's High</td> <td>46 1/2</td> </tr> <tr> <td>Change</td> <td>0</td> <td>Day's Low</td> <td>46</td> </tr> <tr> <td>% Change</td> <td>0</td> <td>Tick</td> <td>↑</td> </tr> <tr> <td>As of:</td> <td colspan="3">09/18/1998 09:31 am EST</td> </tr> <tr> <td>Type</td> <td>Stock</td> <td>Prev. Close</td> <td>45 7/8</td> </tr> <tr> <td>52 Wk High</td> <td>67</td> <td>P/E Ratio</td> <td>0</td> </tr> <tr> <td>52 Wk Low</td> <td>38 3/8</td> <td>EPS</td> <td>- 1.46</td> </tr> <tr> <td>Exchange</td> <td colspan="3">New York Composite</td> </tr> </tbody> </table> </div> <div style="width: 48%;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">Trade Recap</th> </tr> </thead> <tbody> <tr> <td>Account:</td> <td>ZK 34313</td> </tr> <tr> <td>Transaction:</td> <td>Buy</td> </tr> <tr> <td>Security:</td> <td>MOT</td> </tr> <tr> <td>Shares:</td> <td>100</td> </tr> <tr> <td>Duration:</td> <td>Day</td> </tr> <tr> <td>Order Type:</td> <td>Market</td> </tr> <tr> <td>Qualifiers:</td> <td>None</td> </tr> </tbody> </table> </div> </div> <div style="margin-top: 10px;"> <p>Enter your Trading Password: <input style="width: 100px;" type="password"/></p> <div style="display: flex; justify-content: center; gap: 20px; margin-top: 10px;"> Cancel OK Send Trade </div> </div> </div> </div>				Motorola				All quotes are delayed at least 20 minutes.				Symbol:	MOT	Volume	164400	Price	46 1/2	Open	46	Last:	46 1/2	Day's High	46 1/2	Change	0	Day's Low	46	% Change	0	Tick	↑	As of:	09/18/1998 09:31 am EST			Type	Stock	Prev. Close	45 7/8	52 Wk High	67	P/E Ratio	0	52 Wk Low	38 3/8	EPS	- 1.46	Exchange	New York Composite			Trade Recap		Account:	ZK 34313	Transaction:	Buy	Security:	MOT	Shares:	100	Duration:	Day	Order Type:	Market	Qualifiers:	None
Motorola																																																																			
All quotes are delayed at least 20 minutes.																																																																			
Symbol:	MOT	Volume	164400																																																																
Price	46 1/2	Open	46																																																																
Last:	46 1/2	Day's High	46 1/2																																																																
Change	0	Day's Low	46																																																																
% Change	0	Tick	↑																																																																
As of:	09/18/1998 09:31 am EST																																																																		
Type	Stock	Prev. Close	45 7/8																																																																
52 Wk High	67	P/E Ratio	0																																																																
52 Wk Low	38 3/8	EPS	- 1.46																																																																
Exchange	New York Composite																																																																		
Trade Recap																																																																			
Account:	ZK 34313																																																																		
Transaction:	Buy																																																																		
Security:	MOT																																																																		
Shares:	100																																																																		
Duration:	Day																																																																		
Order Type:	Market																																																																		
Qualifiers:	None																																																																		
<p>If you have any questions about this site, please go to the Client Service area. Copyright 1998, PaineWebber. All rights reserved.</p>																																																																			

□ Figure 19 -Stock Trading Wizard Page 6

5.13 Stock Trading Wizard Page 6 Functionality

An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.

The page will primarily consist of two visual static text boxes that appear side by side:

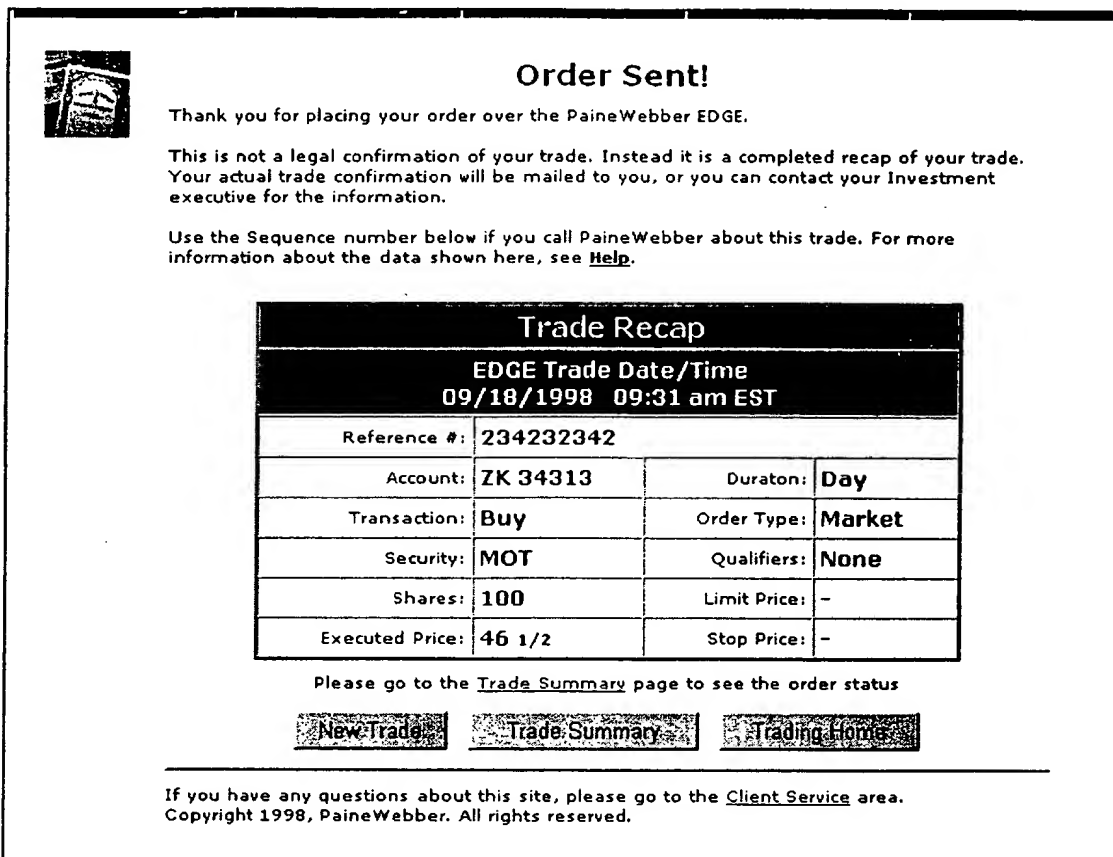
1. **Real-Time Quote table:** - The user will be given a real-time quote for the trade symbol they had previously entered. The title field within the box will be the Symbol Description. Additional fields will be Symbol, Bid, Ask, Last, and As of. As of will show the date and time of the quote (Y2K compliant date).
2. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.

Additional elements found on this page are:

1. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
2. **Previous** - This is a button, which sends the user to the previous page.
3. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
4. **Send Trade:** - This is a button. When pressed, the trade data is sent to PaineWebber for verification and execution. If it fails, the user will receive a message to that effect. If it succeeds, then the trade is executed. Once the trade has been submitted it will be posted to the user's Trading Summary page so that it can be seen.
5. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, and Qualifiers.
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

6 Stock Order Confirmation Page

Once the user's order has been sent to PaineWebber and processed, they receive an online confirmation. This is *not* a real confirmation; instead it's an online version that simply acknowledges the order has been submitted.



Order Sent!

Thank you for placing your order over the PaineWebber EDGE.

This is not a legal confirmation of your trade. Instead it is a completed recap of your trade. Your actual trade confirmation will be mailed to you, or you can contact your Investment executive for the information.

Use the Sequence number below if you call PaineWebber about this trade. For more information about the data shown here, see [Help](#).

Trade Recap			
EDGE Trade Date/Time			
09/18/1998 09:31 am EST			
Reference #:	234232342		
Account:	ZK 34313	Duration:	Day
Transaction:	Buy	Order Type:	Market
Security:	MOT	Qualifiers:	None
Shares:	100	Limit Price:	-
Executed Price:	46 1/2	Stop Price:	-

Please go to the [Trade Summary](#) page to see the order status

[New Trade](#)
[Trade Summary](#)
[Trading Home](#)

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 20 -Stock Trading Wizard Order Confirm Page


6.1 Stock Order Confirmation Page Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order type, Qualifiers, Limit Price, and Stop Price.
3. **New Trade**. - Returns the user to the first page of the Trade Center or Stock Trading Wizard so a new trade can be executed.
4. **Trade Summary**. - Links to the Trade Summary page (section 10)
5. **Trade Home**. - Links to the EDGE Trading Home page (section 3.1).
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

7 Fund Trading

As with stocks, the Fund Trading is where the user can quickly make fund trades.

7.1 Fund Trading Entry Page

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
			
Click the trade tab above to trade either stocks or mutual funds. See Help for more information.			
Select Account: <input type="text" value="8802123343"/>			
Transaction: <input checked="" type="radio"/> Buy For Class B Shares Only			
<input type="radio"/> Sell <input type="radio"/> Exchange			
<input type="radio"/> Sell All <input type="radio"/> Exchange All			
Mutual Fund: <input type="text" value="Choose a Mutual Fund"/>		<input type="text" value="Class A"/>	<input type="button" value="Get QuickQuote"/>
Exchange to: <input type="text" value="Pick for Exchange Only"/>		<input type="text" value="Class B"/>	<input type="button" value="Get QuickQuote"/>
Amount : <input checked="" type="radio"/> Dollars <input type="radio"/> Shares <input type="text"/>			
Capital Gains: <input type="text" value="Reinvest"/>			
Dividends: <input type="text" value="Reinvest"/>			
Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees?			
<input type="radio"/> Yes <input type="radio"/> No			
<input type="button" value="Cancel Order"/>		<input type="button" value="Next Step >>"/>	
If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com .			
Copyright 1998, PaineWebber. All rights reserved.			

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
<div style="display: flex; align-items: center;"> <div> <p>Click the trade tab above to trade either stocks or mutual funds. See Help for more information.</p> </div> </div>			
<p>Select Account: <input type="text" value="8802123343"/></p>			
<p>Transaction: <input checked="" type="radio"/> Buy For Class B Shares Only <input type="radio"/> Sell <input type="radio"/> Exchange <input type="radio"/> Sell All <input type="radio"/> Exchange All</p>			
<p>Mutual Fund: <input type="text" value="Choose a Mutual Fund"/> <input type="button" value="Class A"/> <input type="button" value="Get Quote"/></p>			
<p>Exchange to: <input type="text" value="Pick for Exchange Only"/> <input type="button" value="Class B"/> <input type="button" value="Get Quote"/></p>			
<p>Amount : <input checked="" type="radio"/> Dollars <input type="text"/> <input type="radio"/> Shares <input type="text"/></p>			
<p>Capital Gains: <input type="text" value="Reinvest"/></p>			
<p>Dividends: <input type="text" value="Reinvest"/></p>			
<p>Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees? <input type="radio"/> Yes <input type="radio"/> No</p>			
<input type="button" value="Cancel Order"/> <input type="button" value="Next Step >>"/>			
<p>If you have any questions about this site, please go to the Client Service area. Copyright 1998, PaineWebber. All rights reserved.</p>			


□ Figure 21 -Fund Trading Page 1

7.2 Fund Trading Entry Page Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Select Account:** - Drop Down list box. This will be populated with the user's account number(s), from which they make a selection (Note - only accounts enabled for Trading will be shown). If they only have one account this will be the only one shown. Account numbers will be listed in alphanumeric order. The default account number to be shown will be the first that appears in the list alphabetically.
3. **Transaction:** - A set of radio buttons from which the user must make a choice. The options are Buy, Sell, Sell All, Exchange, and Exchange All. Buy is the default.
4. **Mutual Fund** - This is a drop down list box, which is populated with the available PaineWebber Funds (see Figure 23 -PaineWebber Fund Table).
5. **Class** - This is a drop-down list box. It has no label and appears to the right of the Mutual Fund drop-down box. Class A is the default.
6. **Exchange To:** - This is a drop-down list box, which is populated with the available PaineWebber Funds (see Figure 23 -PaineWebber Fund Table).

7. **Get Quote** – This is a button that will open a pop-up window (or link to a separate page dependant on the user's browser capability). The resultant page will provide the user with 20 min. delayed Moneynet quote information.
8. **Amount:** - This is a choice of two radio buttons. The user may choose either dollars or shares. Dollars is the default.
9. **Dollars:** - This is numeric text field. It has no label but appears to the right of the Dollars radio button. User may input the dollar amount desired. The field will accept two decimal places. Maximum field length is 12
10. **Shares:** - This is a numeric text field. It has no label but appears to the right of the Shares radio button. User may input the number of shares desired. Maximum field length is 12.
11. **Capital Gains:** - This is a drop-down list box from which the user must choose. The options are Reinvest, Proceeds to Money Market, and Mail proceeds by check. Reinvest is the default.
12. **Dividends:** - This is a drop-down list box from which the user must choose. The options are Reinvest, Proceeds to Money Market, and Mail proceeds by check. Reinvest is the default.
13. **Solicited/Unsolicited trades.** - This is a choice of two radio buttons. They have no default. The user is required to indicate whether the trade has been solicited by a PaineWebber IE or by materials or input provided by PaineWebber.
14. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
15. **Next Step:** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields, and the proper choice of the qualifiers. If the data meets the qualifications, the user entered trade data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the next page in Fund Trading, the Recap page. If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message (section 13).
16. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

7.3 Fund Trading Recap Page

HELP																							
Stock Trading	Fund Trading																						
 <p>Once you are sure the order is correct, check the prospectus box, enter your Trading Password and click Send Trade. See Help for more information.</p>																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">PaineWebber Growth & Income Fund</th> </tr> </thead> <tbody> <tr> <td style="text-align: right;">NAV:</td> <td style="text-align: center;">28.71</td> </tr> <tr> <td style="text-align: right;">As of:</td> <td style="text-align: center;">09/18/1998 03:52 pm EST</td> </tr> <tr> <td colspan="2"> <p>Important: the Net Asset Value (NAV) is for informational purposes only. The NAV of your trade will be determined at market close on the day you trade. If you trade after the close, it will use the next day's closing NAV. See Help for more information.</p> </td> </tr> </tbody> </table>	PaineWebber Growth & Income Fund		NAV:	28.71	As of:	09/18/1998 03:52 pm EST	<p>Important: the Net Asset Value (NAV) is for informational purposes only. The NAV of your trade will be determined at market close on the day you trade. If you trade after the close, it will use the next day's closing NAV. See Help for more information.</p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center;">Trade Recap</th> </tr> </thead> <tbody> <tr> <td style="text-align: right;">Account:</td> <td style="text-align: center;">8802123343</td> </tr> <tr> <td style="text-align: right;">Transaction:</td> <td style="text-align: center;">Buy</td> </tr> <tr> <td style="text-align: right;">Symbol:</td> <td style="text-align: center;">PDGAX</td> </tr> <tr> <td style="text-align: right;">Name:</td> <td style="text-align: center;">PaineWebber Growth & Income A</td> </tr> <tr> <td style="text-align: right;">Amount:</td> <td style="text-align: center;">\$6000</td> </tr> <tr> <td style="text-align: right;">Qualifiers:</td> <td style="text-align: center;">Reinvest Capital Gains & Dividends</td> </tr> </tbody> </table>	Trade Recap		Account:	8802123343	Transaction:	Buy	Symbol:	PDGAX	Name:	PaineWebber Growth & Income A	Amount:	\$6000	Qualifiers:	Reinvest Capital Gains & Dividends
PaineWebber Growth & Income Fund																							
NAV:	28.71																						
As of:	09/18/1998 03:52 pm EST																						
<p>Important: the Net Asset Value (NAV) is for informational purposes only. The NAV of your trade will be determined at market close on the day you trade. If you trade after the close, it will use the next day's closing NAV. See Help for more information.</p>																							
Trade Recap																							
Account:	8802123343																						
Transaction:	Buy																						
Symbol:	PDGAX																						
Name:	PaineWebber Growth & Income A																						
Amount:	\$6000																						
Qualifiers:	Reinvest Capital Gains & Dividends																						
<p><input type="checkbox"/> I have read, understand and accept the terms of the prospectus.</p> <p>Enter your Trading Password: <input style="width: 80px;" type="password"/></p>																							
<div style="display: flex; justify-content: space-around;"> << Previous Cancel Order Send Trade </div>																							
<p><small>If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com. Copyright 1998, PaineWebber. All rights reserved.</small></p>																							

□ Figure 22 -Fund Trading Page 2

7.4 Fund Trading Page 2 Functionality

This is the second page the user sees during trade execution. If the user-entered data from the first page has been verified successful, then they are brought to this page.

An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.

The page will primarily consist of two visual static text tables that appear side by side.

3. **Real-Time Quote table:** - The user will be given a real-time quote for the fund they had previously chosen. The title field within the box will be the Fund Description. Additional fields shown will be Nav, and As of. As of will show the date and time of the quote (Y2k compliant date).
4. **Trade Recap:** - This table will reiterate the user-entered trade data. The fields to be included are Account, Transaction, Symbol, Name, Amount, and Qualifiers.

Additional elements found on this page are:

5. **I have read, understand, and accept the terms of the prospectus.** - This is a checkbox. The user must check this box to complete the trade
6. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
7. **Previous Step:** - This is a button. This allows the user to return to the first page of the Stock Trade Center. All data that had been previously entered into that page will appear in their appropriate fields. The user may then edit and/or resubmit, or cancel at this point.
8. **Cancel Order:** - This is a button. This gives the user the option to cancel the trade request at this point. The user is then returned to the Trading Home page.
9. **Send Trade.** - This is a button. When pressed, the trade data is sent to PaineWebber for verification and execution. If it fails, the user will receive a message to that effect, if it succeeds, then the trade is executed. Once submitted, it will be posted to the user's Trade Summary page so that it can be seen. The user is then shown the Order Confirmation page (see Mutual Fund Order Confirmation Page)
10. The page will also include the standard Edge footer with the email address for user questions, and the standard Copyright information.

7.5 PaineWebber Funds

Initially the site will allow the sale and purchase of PaineWebber funds only. The design shown in the document is based on that fact. The available funds are shown in a drop-down list where the user makes a choice. A sample is shown below:

Mutual Fund:	PW Money Market Fund	
---------------------	----------------------	---

7.5.1 PaineWebber Funds

PaineWebber's funds that appear on the EDGE are divided into three families: A, B, and C with each fund appearing in each family.¹⁴

PW Asia Pacific Growth Fund
PW Emerging Markets Equity Fund
PW Global Equity Fund
PW Global Income Fund
PW Balanced Fund
PW Tactical Allocation Fund
PW California Tax-Free Income Fund
PW Municipal High Income Fund
PW National Tax-Free Income Fund
PW New York Tax-Free Income Fund
PW Mid Cap Fund
PW Financial Services Growth Fund
PW Growth and Income Fund
PW Growth Fund
PW Small Cap Fund
PW Utility Income Fund
PW High Income Fund
PW Investment Grade Income Fund
PW Low Duration U.S. Government Income Fund
PW Strategic Income Fund
PW U.S. Government Income Fund
PW Money Market Fund
Mitchell Hutchins Aggressive Portfolio Fund
Mitchell Hutchins Conservative Portfolio Fund
Mitchell Hutchins Moderate Portfolio Fund

□ Figure 23 -PaineWebber Fund Table

7.5.2 PaineWebber Fund Classes

The help system will include definitions of the three fund classes so the user can make an educated decision on which to buy or sell. The copy below is from page 4 of PaineWebber's prospectus for the Capital Appreciation fund, and has been edited for inclusion in the EDGE.¹⁵

Class A

The price is the net asset value plus an initial sales charge. Although investors pay an initial sales charge when they buy Class A shares, the ongoing expenses for this Class are lower than the ongoing expenses of Class B and Class C shares.

Class B

The price is the net asset value. Investors do not pay an initial sales charge when they buy Class B shares. As a result, 100% of their purchase is immediately invested. However, Class B shares have higher ongoing expenses than Class A shares. Depending upon how long they own the shares, investors may have to pay a sales charge when they sell Class B shares. This sales charge is called a "contingent deferred sales charge" and applies when investors sell their Class B shares within six years after purchase. After six years, Class B shares convert to Class A shares, which have lower ongoing expenses and no contingent deferred sales charge.

¹⁴ For instance PW Growth Fund A, PW Growth Fund B, and PW Growth Fund C.

¹⁵ Specific costs have been removed.

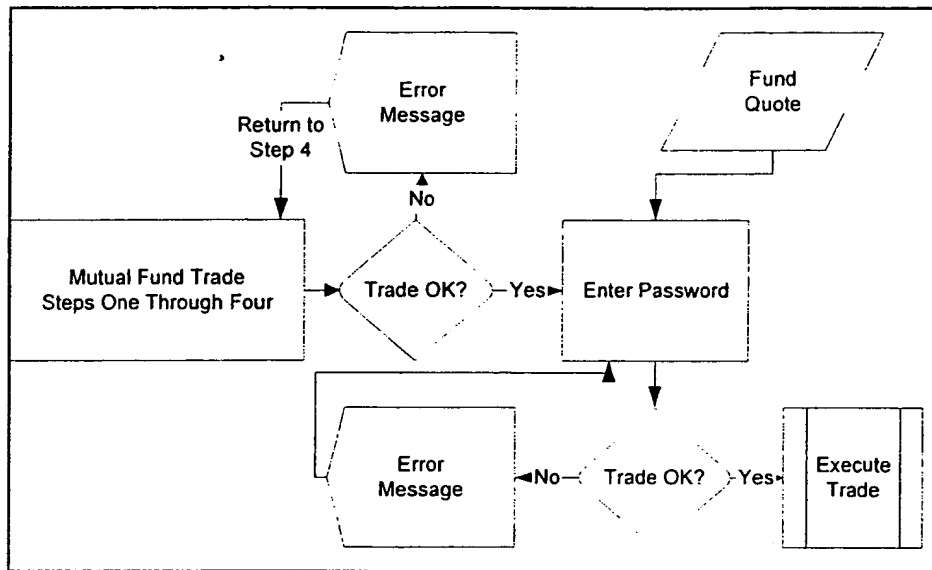
Class C

The price is the net asset value. Investors do not pay an initial sales charge when they buy Class C shares. As a result, 100% of their purchase is immediately invested. However, Class C shares have higher ongoing expenses than Class A shares. A contingent deferred sales charge is charged on shares on shares sold within one year of purchase. Class C shares never convert to any other class of shares.

8 Fund Trading Wizard

As with the Stock Trade Wizard, the purpose of the Fund Trading Wizard is to get comfortable with the trading process.

8.1 Mutual Fund Trade Wizard Flow Diagram



□ Figure 24 –Fund Trade Wizard Flow Diagram

8.2 Mutual Fund Wizard Page One - Buy/Sell

HELP

Stock Trading Fund Trading Stock Wizard Fund Wizard

Fund Trading Wizard 1 Buy/Sell 2 Symbol 3 Amount 4 Qualifiers 5 Password

Choose the account from which you would like to trade, then pick the type of trade you want to perform. See [Help](#) for more information.

Select Account: 8802123343

Transaction: ☒ Buy
Buy the stock of your choice.

☐ Sell
Sell a stock of your choice from your holdings.

☐ Exchange
Exchange all or part of your holdings in one Class B mutual fund.

Cancel Order Next Step >>

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.
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□ Figure 25 -Fund Trading Wizard Page 1

8.3 Fund Trading Wizard Page 1 Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Select Account:** - Drop Down list box. This will be populated with the user's account number(s), from which they make a selection (Note - only accounts enabled for Trading will be shown). If they only have one account this will be the only one shown. Account numbers will be listed in alphanumeric order. The default account number to be shown will be the first that appears in the list alphanumerically.
3. **Transaction:** - A set of radio buttons from which the user must make a choice. The options are Buy, Sell and Exchange All. Buy is the default.
4. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
5. **Next Step:** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields, and the proper choice of the qualifiers. If the data meets the qualifications, the user entered trade data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the next page in the Trade Center, the Recap page. If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message (section 13).
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

8.4 Mutual Fund Wizard Page Two - Symbol

HELP						
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard			
Fund Trading Wizard		1 Buy/Sell	2 Symbol	3 Amount	4 Qualifiers	5 Password



Pick the mutual fund you would like to trade from the drop down list.
See [Help](#) for more information.

Fund to trade: Choose a Mutual Fund

Fund class: Class A

There are three Classes of funds available over the EDGE. For more information about share Classes, see [Help](#).

To view a quote, pick a Fund and Class above and clicking Get Quote. Quotes are posted at the close of business for the previous day of trading.

Trade Recap	
Account:	8802123343
Transaction:	Buy
Symbol:	-
Name:	-
Amount:	-
Qualifiers:	-

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 26 -Fund Trading Wizard Page 2


8.5 Fund Trading Wizard Page 2 Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Fund to Trade:** – This is a drop down list box, which is populated with the available PaineWebber Funds (see Figure 23 -PaineWebber Fund Table).
3. **Fund Class** – This is a drop-down list box. It has no label and appears to the right of the Mutual Fund drop-down box. Class A is the default.
4. **Help** – This is a link to a help file that explains class funds.
5. **Get Quote** – This is a button that will open a pop-up window (or link to a separate page dependant on the user's browser capability). The resultant page will provide the user with 20 min. delayed Moneynet quote information.
6. **Previous** - This is a button, which sends the user to the previous page.
7. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
8. **Next Step:** - This is a button, which sends the user to the next appropriate page.
9. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account, Transaction, Symbol, Name, Amount, and Qualifiers.

10. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

8.6 Mutual Fund Wizard Page Three - Amount

HELP						
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard			
Fund Trading Wizard		1 Buy/Sell	2 Symbol	3 Amount	4 Qualifiers	5 Password



Enter the dollar amount or the number of mutual fund shares you want to buy or sell.
See [Help](#) for more information.

☒ **Dollar Amount**
☐ **Number of Shares**
 Use whole numbers only, not fractions or decimals.

Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees?
☐ Yes ☐ No

Trade Recap	
Account:	8802123343
Transaction:	Buy
Symbol:	PDGAX
Name:	PaineWebber Growth & Income A
Amount:	-
Qualifiers:	-

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.
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□ Figure 27 -Fund Trading Wizard Page 3


8.7 Fund Trading Wizard Page 3 Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Dollar Amount/Number of Shares:** – This is a choice of two radio buttons. The user must choose which option to employ or accept the default. The default is Dollar Amount.
3. **Amount** – These are numeric text fields. They have no label. Each corresponds to the radio button to their left. The Dollar Amount text field will accept two decimal places. The Share text field will accept whole numbers only. The maximum length of these fields is 12.
4. **Solicited/Unsolicited trades.** - This is a choice of two radio buttons. They have no default. The user is required to indicate whether the trade has been solicited by a PaineWebber IE or by materials or input provided by PaineWebber.
5. **Previous** - This is a button, which sends the user to the previous page.
6. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
7. **Next Step:** - This is a button, which sends the user to the next appropriate page.
8. **Trade Recap** – This table will reiterate the user-entered trade data to this point. The fields to be included are Account, Transaction, Symbol, Name, Amount, and Qualifiers.

9. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

8.8 Mutual Fund Wizard Page Four - Qualifiers

HELP				
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard	
Fund Trading Wizard		1 Buy/Sell	2 Symbol	3 Amount
		4 Qualifiers	5 Password	



Select an optional trade qualifier if you desire.
See [Help](#) for more information.

Capital Gains: ☒ Reinvest
☐ Proceeds to Money Market Account
☐ Mail Proceeds by check

Dividends: ☒ Reinvest
☐ Proceeds to Money Market Account
☐ Mail Proceeds by check

Trade Recap	
Account:	8802123343
Transaction:	Buy
Symbol:	PDGAX
Name:	PaineWebber Growth & Income A
Amount:	\$6000
Qualifiers:	-

<< Previous
Cancel Order
Next Step >>

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.
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□ Figure 28 -Fund Trading Wizard Page 4

8.9 Fund Trading Wizard Page 4 Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Capital Gains:** - This is a set of 3 radio buttons from which the user must choose. The options are Reinvest, Proceeds to Money Market, and Mail proceeds by check. Reinvest is the default.
3. **Dividends:** - This is a set of 3 radio buttons from which the user must choose. The options are Reinvest, Proceeds to Money Market, and Mail proceeds by check. Reinvest is the default.
4. **Previous** - This is a button, which sends the user to the previous page.
5. **Cancel Order:** - This is a button that returns the user to the Trading Home page. Any entries that were made on this page are not stored.
6. **Next Step:** - This is a button, which sends the user to the next appropriate page.
7. **Trade Recap** - This table will reiterate the user-entered trade data to this point. The fields to be included are Account, Transaction, Symbol, Name, Amount, and Qualifiers.
8. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

8.10 Mutual Fund Wizard Page Five - Password

HELP					
Stock Trading	Fund Trading		Stock Wizard	Fund Wizard	
Fund Trading Wizard	1 Buy/Sell	2 Symbol	3 Amount	4 Qualifiers	5 Password



Once you are sure the order is correct, check the prospectus box, enter your Trading Password and click Send Trade. See [Help](#) for more information.

PaineWebber Growth & Income Fund	
NAV:	28.71
As of:	09/18/1998 03:52 pm EST
Important: the Net Asset Value (NAV) is for informational purposes only. The NAV of your trade will be determined at market close on the day you trade. If you trade after the close, it will use the next day's closing NAV. See Help for more information.	

Trade Recap	
Account:	8802123343
Transaction:	Buy
Symbol:	PDGAX
Name:	PaineWebber Growth & Income A
Amount:	\$6000
Qualifiers:	Reinvest Capital Gains & Dividends

☐ I have read, understand and accept the terms of the prospectus.

Enter your Trading Password:

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.
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□ Figure 29 -Fund Trading Wizard Page 5

8.11 Fund Trading Wizard Page 5 Functionality

If the user-entered data from the earlier pages has been verified successful, then they are brought to this page.

An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.

The page will primarily consist of two visual static text tables that appear side by side.

1. **Real-Time Quote table:** The user will be given a real-time quote for the fund they had previously chosen. The title field within the box will be the Fund Description. Additional fields shown will be Nav, and As of. As of will show the date and time of the quote (Y2k compliant date).
2. **Trade Recap:** This table will reiterate the user-entered trade data. The fields to be included are Account, Transaction, Symbol, Name, Amount, and Qualifiers.

Additional elements found on this page are:

1. **I have read, understand, and accept the terms of the prospectus.** - This is a checkbox. The user must check this box to complete the trade


2. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
3. **Previous Step:** - This is a button. This allows the user to return to the first page of the Stock Trade Center. All data that had been previously entered into that page will appear in their appropriate fields. The user may then edit and/or resubmit, or cancel at this point.
4. **Cancel Order:** - This is a button. This gives the user the option to cancel the trade request at this point. The user is then returned to the Trading Home page.
5. **Send Trade.** - This is a button. When pressed, the trade data is sent to PaineWebber for verification and execution. If it fails, the user will receive a message to that effect, if it succeeds, then the trade is executed. Once submitted, it will be posted to the user's Trade Summary page so that it can be seen
6. The page will also include the standard Edge footer with the email address for user questions, and the standard Copyright information.

9 Mutual Fund Order Confirmation Page

As with the Stock Trade Confirmation (see Stock Order Confirmation Page), the Fund Confirmation will have the trade information, but it will not be an actual legal confirmation. It has the same design as the Stock Confirmation Page, but uses the mutual fund data fields and links.

HELP

Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
---------------	--------------	--------------	-------------



Order Sent!

Thank you for placing your order over the PaineWebber EDGE.

This is not a legal confirmation of your trade. Instead it is a completed recap of your trade. Your actual trade confirmation will be mailed to you, or you can contact your Investment executive for the information.

Use the Sequence number below if you call PaineWebber about this trade. For more information about the data shown here, see [Help](#).

Trade Recap			
EDGE Trade Date/Time			
09/18/1998 03:52 pm EST			
Reference #:	954232342	Amount:	\$6000
Account:	8802123343		
Transaction:	Buy	Executed Price:	28.71
Symbol:	PDGAX		
Name:	PaineWebber Growth & Income A	Qualifiers:	Reinvest Capital Gains & Dividends

Please go to the [Trade Summary](#) page to see the order status

[New Trade](#) [Trade Summary](#) [Trading Home](#)

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 30 -Fund Trading Confirm Page

9.1 Fund Order Confirmation Page Functionality

1. An introductory paragraph includes a link to the appropriate Help file for this page. This link is identical to the link presented within the page header.
2. **Trade Recap** – This table will reiterate the order that was placed with PaineWebber. The fields to be included are Reference #, Amount, Account #, Transaction, Executed Price, Symbol, Name, and Qualifiers.
3. **New Trade**. - Returns the user to the first page of the Fund Trading Wizard so a new trade can be executed.
4. **Trade Summary**. - Links to the Trade Summary page (section 10)
5. **Trade Home**. - Links to the EDGE Trading Home page (section 3.1).


6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

10 Trade Summary Page

The purpose of the Trade Summary is to show the trades that the user performed online today. This activity appears here because the other pages on the EDGE (Holdings, Activity, etc.) will not be updated until the evening after the trade is made. The Trade Summary simply shows those activities that are not yet posted.

In addition the Trade Summary lets the user alter trades that have been posted but are not yet executed, or have been partially executed. For instance a limit order. In this case the user will be able to cancel the order or perform a cancel replace.

10.1 Trade Summary Page Design

Stock Trading					Fund Trading					Stock Wizard					Fund Wizard					HELP				
 <p>This page shows your online activity for today. These transactions will be reflected in your Holdings, Securities Activity, Distributions and Cash Activity pages after market close and overnight posting. Click the symbol to view the trade details. See Help for more information. Click here to return to the Trading Home page.</p>																								
TRADING SUMMARY																								
BUY		100		IBM		International Business Machines								OPEN										
09/18/1998 at 10:23 am EST Client Entry																								
Order Type: Limit Duration: GTC Limit: 121 Stop:																								
Order #: 1231243 Account: 123123132123 PAA																								
Modify/Cancel Order																								
BUY		100		MOT		Motorola Inc.								EXECUTED										
09/18/1998 at 09:31 am EST IE Entry																								
Order Type: Market Duration: DAY Limit: Stop: Bought at																								
\$46 1/2 on																								
Order #: 1231242 Account: 123123132123 PAA																								
09/18/1998 at 9:31 am EST																								
SELL		100		AAPL		Apple Computer								CANCELLED										
09/18/1998 at 09:25 am EST Client Entry																								
Order Type: Market Duration: DAY Limit: Stop:																								
Order #: 1231241 Account: 123123132123 PAA																								
<p>If you have any questions about this site, please go to the Client Service area.</p> <p>Copyright 1998, PaineWebber. All rights reserved.</p>																								

□ Figure 31 -Trade Summary Page

10.1.1 Trade Summary Functionality

The top of the page will include a brief disclaimer message regarding account information.¹⁶ Within this wording will be a link to the Help file for this section (same as the link within the header) as well as a link back to the Trading Home page.

¹⁶ Final wording to be approved by PaineWebber.

The Trading Summary content will be a series of tables. The total number of tables that will be seen is dependent on the number of orders placed for the current calendar date. The content will be primarily static text as outlined/defined in **Figure 32 –Trade Summary Data Content Definition Table –Stock Trade Detail**.

Both the Symbol and Description for the order's equity will be presented as links to the Trade Summary Detail Page (see page number 55). To view the details for a specific order, the user clicks on its symbol or name and is transferred to the appropriate page.

Modify/Cancelbutton appears on trades that are eligible for these actions. This button will take the user to the Modify Order Section. There the user may cancel an entire order, cancel a partial order, or cancel and replace an order.

Trading Home Link. Clicking the Trading Home link returns the user to the Trading Home page (section 3).

Trades can be generated by the client or by the client's Investment Executive. Each trade is labeled as client entered or IE entered. Also, only trades entered by the client will be editable and cancelable; those entered by the IE will not be (these are for display only). The data that appears on IE entered trades will be identical to the Holdings data, plus a status field. The reason we will use this format, at least initially, is that there are other trade-types that appear on Holdings but as of yet will not be available for trading over the EDGE (such as bonds, options, etc.).

Field	Notes and Data
Account	Account number
Account Classification	PAA, etc
Symbol	
Description	
Original Order Entry Date	From the EDGE
Order Entry	Client Entered or IE Entered
Order Status	Status details are on the Detail page
Order Type	LMT, STP, STPLMT, MKT
Order Duration	Day, GTC, FOK, IOC (also called the Order Time in Force)
Order Instruction	Buy, Sell
Order Reference #	7 digits
Limit Price	
Stop Price	
Last Execution Date/Time	Appears if needed
Quantity	
Execution Price	
Cancel Button	Button to cancel the order
Edit Button	Button to edit the order

□ **Figure 32 –Trade Summary Data Content Definition Table –Stock Trade Detail**

10.1.2 Trade Summary: Fund Data Fields

Field	Notes and Data
Account	Account number
Account Classification	PAA, etc
Fund Name	Fund bought, sold or exchanged from
Exchange To Name	Appears only on exchange transactions
Original Order Entry Date	From the EDGE
Order Entry	Client Entered or IE Entered
Order Status	Status details are on the Detail page
Order Instruction	Buy, Sell, Sell All, Exchange, Exchange All
Order Reference #	7 digits
Execution Date/Time	Appears if needed
Price	Only appears on executed orders
Quantity	Amount in shares
Execution Amount	Amount in dollars
Cancel Button	Button appears only during market hours
Edit Button	Button appears only during market hours

□ **Figure 34 -Trade Summary Content Definition Table - Fund Trade Detail**

10.2 Trade Detail Page

The user gets to the Trade Detail page by clicking on the link to a trade listed on the Trade Summary. The link will be the security symbol and description.¹⁷

10.2.1 Trade Detail Page Design

[HELP](#)

Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
-------------------------------	------------------------------	------------------------------	-----------------------------

This page shows the full details of each trade. See [Help](#) for more information. Click here to return to the [Trading Summary](#) or the [Trading Home](#) page.

TRADING DETAIL

BUY	100 MOT Motorola Inc. 09/18/1998 at 09:31 am EST IE Entry	EXECUTED
------------	---	-----------------

Order Type: **Market** Duration: **DAY** Limit: Stop:

Order #: **1231243** Account: **123123132123** EDGE: **23423423**
PAA

QUANTITY	PRICE	EXECUTION
Open: 0	Last Price: 46 1/2	Net Money: \$4,650
Executed: 100	Bid: 46 5/8	Avg. Executed Price: 46 1/2
Cancelled: 0	Ask: 46 3/8	Order entry 09/18/1998
Cancel Pend: 0	As of 09/18/1998 09:31am EST	09:31am EST Settlement on 09/18/1998

EVENT LIST

Type	Action	Symbol	Quantity	Price	Exchange	Date/Time
Execute	Bought	MOT	100	46 1/2	NYSE	09/18/1998 09:31am EST
Execute	Bought	MOT	100	46 1/2	NYSE	09/18/1998 09:28am EST

[View Original Order](#)

If you have any questions about this site, contact PaineWebber at questions@painewebberedge.com.

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□ Figure 35 -Trade Detail Page

10.3 Trade Detail Functionality

¹⁷ Both are used because some securities do not have symbols.

1. An introductory paragraph includes a link to the appropriate help file for this page. This link is identical to the link presented with the page header.
2. **Trading Home Link** - Clicking the Trading Home link returns the user to the Trading Home page (section 3).
3. **Trade Summary Link** - Clicking this link returns the user to the Trade Summary page (section 10.1)
4. **EDIT and CANCEL** - These are buttons that appear on trades that are eligible for these actions.
5. **View Original Order and View Replacement Order** - These are buttons that appear on orders that require these links. For instance, an edited order will have a link to the original.
6. At the bottom of the page will be the standard Edge footer with a link to the Client Service section, and the standard copyright information.

10.3.1 Trade Detail Content

Field	Notes and Data
Trading Detail Section:	
Order Instruction	Buy, Sell
Quantity	The order quantity
Symbol	The symbol for the equity
Description	The description of the equity
Original Order Entry Date	From the EDGE
Order Entry	Client Entered or IE Entered
Order Status	Open, Executed, Cancelled
Order Type	Market, Limit, Stop, Stop/Limit
Duration	Day, GTC, FOK, IOC
Limit Price	The price entered during the order entry phase
Stop Price	The price entered during the order entry phase
Order #	7 digit order Reference number
Account	Account number
Account Classification	PAA, etc
EDGE	User's EDGE Registration ID
Quantity Section:	
Open Quantity	Share quantity left open
Executed Quantity	Share quantity executed
Canceled Quantity	Share quantity canceled
Cancel Pend	Share quantity pending cancellation
Price Section:	
Last Price	Last Price per quote
Bid	Quote bid
Ask	Ask bid
Last Price Date/Time	Date/time of quote
Execution:	
Net Money	Principal amount (quantity x price)
Average Executed Price	Average Executed Daily Price
Exchange Order Entry Date	Date/Time the order was logged at the exchange
Event List:	
Event Type	Execution, Admin, Reject, Bust, Drop, Cancel, GTC Adjustments, etc.
Event Action	Sold, Bought, UR Out, NC, TLTC, cancel, partial/multiple executions
Event Symbol	Symbol for the event equity
Event Quantity	Quantity for the event equity
Event Price	Price for the event
Event Exchange	Exchange of the event equity

Event Date/Time	Date/time for the event
View Original Order Button	For cancelled orders, links back to the original order. Only appears on the page if needed.
View Replacement Orders	For replacement orders for cancel operation, links to the replacement order. Only appears on the page if needed.

□ Figure 36 -Trade Detail Page Content Definition Table


10.3.2 Trade Summary Detail: Fund Data Fields

Important: the fund data on the detail page is identical to the data on the summary. Thus, there is no need to create a detail page for mutual fund transactions.

11 Modify/Cancel Order from Trade Summary

11.1 Cancel Order Page

Stock Trading				Fund Trading		Stock Wizard		Fund Wizard		HELP
Modify Order			Cancel	Partial Cancel	Cancel & Replace					

 This page allows you to cancel an order. See [Help](#) for more information. Click here to return to the [Trading Summary](#) or the [Trading Home](#) page.

TRADING DETAIL		
BUY	100	MOT Motorola Inc. 09/18/1998 at 09:31am EST IE Entry
Order Type: Market	Duration: DAY	Limit: Stop:
Order #: 1231243	Account: 123123132123 PAA	EDGE: 23423423

QUANTITY	PRICE	EXECUTION
Open: 0	Last Price: 46 1/2	Net Money: \$4,650
Executed: 100	Bid: 46 5/8	Avg. Executed Price: 46 1/2
Cancelled: 0	Ask: 46 3/8	Order entry 09/18/1998
Cancel Pend: 0	As of 09/18/1998 09:31am EST	09:31am EST Settlement on 09/18/1998

Enter your Trading Password:

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 36 -Cancel Order

11.2 Cancel Order Functionality

The user is presented with a trade detail for the original order.. If the use chooses to accept this option, they must enter their trade password and submit. The user also has the option of going to the Partial Cancel or Cancel and Replace section, or choosing to do nothing and return to trading summary or trading home pages.

11.3 Cancel Order Confirmation

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
Modify Order	Cancel	Partial Cancel	Cancel & Replace



Order Sent!

Thank you for placing your order over the PaineWebber EDGE.

This is not a legal confirmation of your trade. Instead it is a completed recap of your trade. Your actual trade confirmation will be mailed to you, or you can contact your Investment executive for the information.

Use the Reference number below if you call PaineWebber about this trade. For more information about the data shown here, see [Help](#).

Cancel Trade Recap

EDGE Trade Date/Time
09/18/1998 09:31 am EST

Reference #:	234232342		
Account:	ZK 34313	Duration:	Day
Transaction:	Buy	Order Type:	Market
Security:	MOT	Qualifiers:	None
Shares:	100	Limit Price:	-
Executed Price:	46 1/2	Stop Price:	-

Please go to the [Trade Summary](#) page to see the order status

[New Trade](#)
[Trade Summary](#)
[Trading Home](#)

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 37 - Cancel Trade Confirmation page

11.4 Cancel Order Confirmation Functionality

The functionality and look of this page will be the same as the original Order Confirmation page. A statement has been added to encourage the user to check the Trade Summary page for the order status, and includes a link to that page.

11.5 Partial Cancel Page

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
Modify Order	Cancel	Partial Cancel	Cancel & Replace

 This page allows you to cancel a portion of your order. See [Help](#) for more information. Click here to return to the [Trading Summary](#) or the [Trading Home](#) page.

TRADING DETAIL		
BUY	100	MOT Motorola Inc.
09/18/1998 at 09:31 am EST IE Entry		
Order Type: Market	Duration: DAY	Limit: Stop:
Order #: 1231243	Account: 123123132123 PAA	EDGE: 23423423

QUANTITY	PRICE	EXECUTION
Open: 75	Last Price: 46 1/2	Net Money: \$4,650
Executed: 25	Bid: 46 5/8	Avg. Executed Price: 46 1/2
Cancelled: 0	Ask: 46 3/8	Order entry 09/18/1998
Cancel Pend: 0	As of 09/18/1998	09:31am EST
	09:31am EST	Settlement on 09/18/1998

Open Quantity: **75**

Cancel Quantity:

Leave Quantity:

Enter your Trading Password:

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 38 - Partial Cancel Page


11.6 Partial Cancel Order Functionality

1. **Trade Detail table** - A trade detail of the original order is presented to the user.
2. **Open Quantity** - Static text informing the user as to the current Open Quantity on this original order.
3. **Cancel Quantity** - Text entry box which allow the user to enter the quantity from the original order that they wish to cancel. The user will not be permitted to enter a quantity higher than or equal to the open quantity.

4. **Leave Quantity** - -- Text entry box which allow the user to enter the quantity from the original order that they wish to leave active. The user will not be permitted to enter a quantity higher than or equal to the open quantity minus the open quantity.
5. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
6. **Submit Partial Cancel Request** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields. If the data meets the qualifications, the user entered data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the Confirmation page. If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message.
7. **Cancel Entire Order** - This is a button, which takes the user to the Cancel Order page.
8. **Cancel & Replace** - This is a button which takes the user to the Cancel & Replace Page.

11.7 Partial Cancel Confirm

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
Modify Order	Cancel	Partial Cancel	Cancel & Replace



Order Sent!

Thank you for placing your order over the PaineWebber EDGE.

This is not a legal confirmation of your trade. Instead it is a completed recap of your trade. Your actual trade confirmation will be mailed to you, or you can contact your Investment executive for the information.

Use the Reference number below if you call PaineWebber about this trade. For more information about the data shown here, see [Help](#).

Partial Cancel Request Recap			
EDGE Trade Date/Time 09/18/1998 09:31 am EST			
Reference #:	234232342		
Account:	ZK 34313	Duration:	Day
Transaction:	Buy	Order Type:	Market
Security:	MOT	Qualifiers:	None
Shares:	100	Limit Price:	-
Executed Price:	46 1/2	Stop Price:	-
Qty Executed:	25	Cancel Quantity:	60
Open Quantity:	75	Leave Quantity:	15

Please go to the [Trade Summary](#) page to see the order status

[New Trade](#)
[Trade Summary](#)
[Trading Home](#)

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 39 - Partial Cancel Confirm


11.8 Partial Cancel Order Confirmation Functionality

The functionality and look of this page will be the same as the original Order Confirmation page, with the following exceptions.

1. The opening statement will include verbiage to inform the user that the edited order will appear on the Summary *after* the original order is canceled. If the original order is not cancelable after all, then the edit will not occur. (note: Figure 38 does NOT reflect this verbiage)
2. The recap will show the original order and will include fields for Quantity Executed, Open Quantity, Cancel Quantity, and Leave Quantity.
3. A statement has been added to encourage the user to check the Trade Summary page for the order status, and includes a link to that page.

11.9 Cancel & Replace Page

HELP				
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard	
Modify Order	Cancel	Partial Cancel	Cancel & Replace	



This page allows you to cancel the unexecuted portion of your order and send a replacement order. See [Help](#) for more information. Click here to return to the [Trading Summary](#) or the [Trading Home](#) page.

TRADING DETAIL			
BUY	100	MOT	Motorola Inc.
09/18/1998 at 09:31 am EST IE Entry			
Order Type: Market	Duration: DAY	Limit:	Stop:
Order #: 1231243	Account: 123123132123 PAA	EDGE: 23423423	
QUANTITY	PRICE	EXECUTION	
Open: 75	Last Price: 46 1/2	Net Money: \$4,650	
Executed: 25	Bid: 46 5/8	Avg. Executed Price: 46 1/2	
Cancelled: 0	Ask: 46 3/8	Order entry 09/18/1998	
Cancel Pend: 0	As of 09/18/1998 09:31am EST	09:31am EST	
		Settlement on 09/18/1998	

ENTER REPLACEMENT ORDER		
Account: ZK 34313	Transaction: Buy	Symbol: MOT
Duration: Day <input type="checkbox"/>	Shares: <input type="text"/>	<input type="button" value="Get Quote"/>

Order Type	Stop Price	Limit Price	Qualifier
<input checked="" type="radio"/> Market			<input type="text" value="None"/> <input checked="" type="checkbox"/>
<input type="radio"/> Limit		<input type="text"/>	<input type="text" value="None"/> <input type="checkbox"/>
<input type="radio"/> Stop	<input type="text"/>		<input type="text" value="None"/> <input type="checkbox"/>
<input type="radio"/> Stop/Limit	<input type="text"/>	<input type="text"/>	<input type="text" value="None"/> <input type="checkbox"/>

Is this transaction a result of a recommendation by your Investment Executive or based upon information supplied by PaineWebber or its employees?

☐ Yes ☐ No

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 40 - Cancel & Replace Page

11.10 Cancel & Replace Functionality

1. **Trade Detail table** - A trade detail of the original order is presented to the user.
2. **Enter Replacement Order** - This section has the same functionality as the original Order Entry page, with the exception that the user may not modify the Account number, the Transaction Type, or the Equity Symbol.
3. **Next Step** - This is a button, which sends the user to the next appropriate page. The data entries made by the user will be checked for completeness of all required fields. If the data meets the qualifications, the user entered data is sent to PaineWebber for a second accuracy check. If it passes, the user is taken to the Confirmation page. If the trade fails, either at PaineWebber or within the browser, the user will receive an appropriate error message.
4. **Cancel Entire Order** - This is a button, which takes the user to the Cancel Order page.
5. **Partial Cancel** - This is a button, which takes the user to the Partial Cancel Page.

11.11 Cancel & Replace Recap Page

Motorola			
Real-Time Quote			
Symbol:	MOT	Volume	164400
Bid:	46 1/2	Open	46
Ask:	46 5/8	Day's High	46 1/2
Last:	46 1/2	Day's Low	46
Change	1/2	Tick	↑
As of:	09/18/1998 09:31 am EST		
Type	Stock	Prev. Close	45 7/8
52 Wk High	67	P/E Ratio	0
52 Wk Low	38 3/8	EPS	- 1.46
Exchange	New York Composite		

Order to Cancel		Replacement Order	
Order#	1231243		
Account:	ZK 34313	Account:	ZK 34313
Transaction:	Buy	Transaction:	Buy
Security:	MOT	Security:	MOT
Shares:	100	Shares:	500
Duration:	Day	Duration:	Day
Order Type:	Market	Order Type:	Market
Qualifiers:	None	Qualifiers:	AON

Enter your Trading Password:

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 41 - Cancel & Replace Recap Page

11.12 Cancel & Replace Recap Functionality

The page will primarily consist of three visual static text tables that appear side by side.


5. **Real-Time Quote table:** - The user will be given a real-time quote for the trade symbol they had previously entered. The title field within the box will be the Symbol Description. Additional fields shown will be Symbol, Bid, Ask, Last, Change, Volume, Open, Days High, Days Low, Tick, Security Type, 52 Week High, 52 Week Low, Previous Close, P/E Ratio, EPS, Exchange, and As of. As of will show the date and time of the quote (Y2k compliant date).
6. **Order to Cancel:** - This table will reiterate the user-entered trade data for the original Order. The fields to be included are Order #, Account #, Transaction, Symbol, Shares, Duration, Order Type, and Qualifiers.
7. **Replacement Order:** - This table will reiterate the user-entered trade data for the Replacement Order. The fields to be included are Account #, Transaction, Symbol, Shares, Duration, Order Type, and Qualifiers.

Additional elements found on this page are:

11. **Enter your Trading Password:** - This is an alphanumeric text entry field that will allow the user to enter their PaineWebber assigned trading password. This field will have a maximum of 15 characters.
12. **Previous Step:** - This is a button. This allows the user to return to the first page of Stock Trading. All data that had been previously entered into that page will appear in their appropriate fields. The user may then edit and/or resubmit, or cancel at this point.
13. **Do Not Place This Order:** - This is a button. This gives the user the option to cancel the trade request at this point. The user is then returned to the Trading Home page.
14. **Send Cancel & Replace** - This is a button. When pressed, the trade data is sent to PaineWebber for verification and execution. If it fails, the user will receive a message to that effect, if it succeeds, then the trade is executed. Once submitted, it will be posted to the user's Trade Summary page so that it can be seen

11.13 Cancel & Replace Confirmation Page

HELP			
Stock Trading	Fund Trading	Stock Wizard	Fund Wizard
Modify Order	Cancel	Partial Cancel	Cancel & Replace



Order Sent!

Thank you for placing your order over the PaineWebber EDGE.

This is not a legal confirmation of your trade. Instead it is a completed recap of your trade. Your actual trade confirmation will be mailed to you, or you can contact your Investment executive for the information.

Use the Reference number below if you call PaineWebber about this trade. For more information about the data shown here, see [Help](#).

Replacement Trade Recap			
EDGE Trade Date/Time			
09/18/1998 09:31 am EST			
Reference #:	234232342		
Account:	ZK 34313	Duration:	Day
Transaction:	Buy	Order Type:	Market
Security:	MOT	Qualifiers:	None
Shares:	500	Limit Price:	-
Executed Price:	46 5/8	Stop Price:	-

Please go to the [Trade Summary](#) page to see the order status

[New Trade](#)
[Trade Summary](#)
[Trading Home](#)

If you have any questions about this site, please go to the [Client Service](#) area.
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□ Figure 42 - Cancel & Replace Confirmation Page

11.14 Cancel & Replace Confirmation Page Functionality

The functionality and look of this page will be the same as the original Order Confirmation page. A statement has been added to encourage the user to check the Trade Summary page for the order status, and includes a link to that page.

12 Demo Pages

There will be demo trades for each type of trading:

- **Stock Trade**
- **Stock Trade Wizard**
- **Mutual Fund Trade**
- **Mutual Fund Trade Wizard**

The demo pages will be executed using active pages within the site so that the user can walk through the actual trading process - short of making an actual trade. The quotes used in the demo process will be delayed quotes, rather than real-time quotes.

Links to the demo pages are on the Trading Home page (section 3). A link to the demo will appear on the navigation bar for non-Edge Trading clients¹⁸.

¹⁸ To be decided

13 Error Messages

13.1 When Messages are Triggered

Trading will generate feedback to the user at two times:

1. While the trade is being composed. That is, as the user creates the trade by filling in data and making choices on the trade screens. For instance, when the user is using the Stock Wizard there will be error messages available to help correct problems.
2. Once the trade is submitted to PaineWebber. When the trade passes from the web-based front-end to PaineWebber's systems the trade will be verified and error messages can be generated.

13.2 Smart Error Checking

The objective of error checking in EDGE trading is to prevent simple errors at the browser, then check for more complex errors at PaineWebber's host system. In any event, the user will receive a "smart" error message that gives direction as to the cause of the error. In some cases this direction will be less explicit due to PaineWebber security and policy requirements.

13.3 Error Types

The following sub-sections will outline the errors and the conditions that trigger them. This document will only outline those errors generated by the Edge2 Trading software and is not inclusive of errors generated by PaineWebber.

13.4 Change Initial/Trading Password Errors

Both pages will supply the same inexplicit message:

Your password change request was unsuccessful. Please retry your change request. If this continues to be a problem, please call the PaineWebber EDGE® Service Center at 1-888-2PW-EDGE.

The service center is open Monday through Friday, 7:30AM - 8PM EST and Saturday through Sunday, 8AM - 4PM EST.

13.5 Stock Trading Entry Page Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

1. Symbol Field Empty - *You need to supply a symbol.*
2. Shares Field Empty or a negative number - *You must enter the number of Shares you wish to trade*
3. Shares field contains decimals or fractions - *Decimals and fractions are not permitted in the Shares field for Stock trades*
4. User has chosen an Order Type of Market, and a Duration other than Day – *A Market order can only have a duration of Day*
5. User has chosen a Market Order and entered a Limit Price. – *You cannot enter a Limit Price for a Market Order.*

6. User has chosen a Market Order and entered a Stop Price. – *You cannot enter a Stop Price for a Market Order.*
7. User has chosen a Limit Order and not entered a Limit Price. – *You must supply a Limit Price for a Limit Order.*
8. User has chosen a Limit Order and entered a Stop Price. – *You cannot enter a Stop Price for a for a Limit Order.*
9. User has chosen a Limit Order and entered a Limit Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
10. User has chosen a Stop Order and not entered a Stop Price. – *You must supply a Stop Price for a Stop Order*
11. User has chosen a Stop Order and entered a Limit Price. – *You cannot enter a Limit Price for a Stop Order.*
12. User has chosen a Stop Order and entered a Stop Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
13. User has chosen a Stop Order and Duration of FOK - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
14. User has chosen a Stop Order and Duration of IOC - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
15. User has chosen a Stop/Limit Order and not entered a Limit Price. – *You must supply a Limit Price for a Stop/Limit Order.*
16. User has chosen a Stop/Limit Order and not entered a Stop Price. – *You must supply a Stop Price for a Stop/Limit Order.*
17. User has chosen a Stop/Limit Order and entered a Limit Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
18. User has chosen a Stop/Limit Order and entered a Stop Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
19. User has chosen a Stop/Limit Order and Duration of FOK - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
20. User has chosen a Stop/Limit Order and Duration of IOC - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
21. User has chosen a Buy transaction, with an order type of Stop/Limit and entered a Stop Price greater than the Limit Price. – *Stop/Limit Buy Transactions must have a Limit Price that is greater than or equal to the Stop Price.*
22. User had chosen a Sell Transaction, with an order type of Stop/Limit and entered a Limit Price greater than the Stop Price - *Stop/Limit Sell Transactions must have a Limit Price that is less than or equal to the Stop Price.*

13.6 Stock Trading Recap Page Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

User enters an incorrect trading Password – *The password you have entered is incorrect. Please enter a valid password.*

13.7 Stock Trading Wizard Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

1. Symbol Field Empty- *you need to supply a symbol.*
2. Shares Field Empty or a negative number - *You must enter the number of Shares you wish to trade*
3. Shares field contains decimals or fractions - *Decimals and fractions are not permitted in the Shares field for Stock trades*
4. User has chosen an Order Type of Market, and a Duration other than Day – *A Market order can only have a duration of Day*
5. User has chosen a Market Order and entered a Limit Price. – *You cannot enter a Limit Price for a Market Order.*
6. User has chosen a Market Order and entered a Stop Price. – *You cannot enter a Stop Price for a Market Order.*
7. User has chosen a Limit Order and not entered a Limit Price. – *You must supply a Limit Price for a Limit Order.*
8. User has chosen a Limit Order and entered a Stop Price. – *You cannot enter a Stop Price for a for a Limit Order.*
9. User has chosen a Limit Order and entered a Limit Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
10. User has chosen a Stop Order and not entered a Stop Price. – *You must supply a Stop Price for a Stop Order*
11. User has chosen a Stop Order and entered a Limit Price. – *You cannot enter a Limit Price for a Stop Order.*
12. User has chosen a Stop Order and entered a Stop Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
13. User has chosen a Stop Order and Duration of FOK - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
14. User has chosen a Stop Order and Duration of IOC - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
15. User has chosen a Stop/Limit Order and not entered a Limit Price. – *You must supply a Limit Price for a Stop/Limit Order.*
16. User has chosen a Stop/Limit Order and not entered a Stop Price. – *You must supply a Stop Price for a Stop/Limit Order.*
17. User has chosen a Stop/Limit Order and entered a Limit Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
18. User has chosen a Stop/Limit Order and entered a Stop Price containing decimals – *Decimals are not permitted in price fields for Stock Trades.*
19. User has chosen a Stop/Limit Order and Duration of FOK - *You cannot use the FOK or IOC qualifiers with a Stop Order.*

20. User has chosen a Stop/Limit Order and Duration of IOC - *You cannot use the FOK or IOC qualifiers with a Stop Order.*
21. User has chosen a Buy transaction, with an order type of Stop/Limit and entered a Stop Price greater than the Limit Price. - *Stop/Limit Buy Transactions must have a Limit Price that is greater than or equal to the Stop Price.*
22. User had chosen a Sell Transaction, with an order type of Stop/Limit and entered a Limit Price greater than the Stop Price - *Stop/Limit Sell Transactions must have a Limit Price that is less than or equal to the Stop Price.*

13.8 Stock Order Confirmation Page Errors

No Edge2 software errors are generated on this page.

13.9 Fund Trading Entry Page Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

1. Mutual Fund Field Empty - *You must choose a fund you wish to trade.*
2. User has chosen Dollars for a buy or sell transaction but the Amount field is empty - *You must supply a dollar amount that you wish to trade.*
3. User has chosen Shares for a buy or sell transaction but the Amount field is empty - *You must enter the number of Shares you wish to trade.*
4. Amount field is a negative number - *You must enter a valid number in the Amount field.*
5. User has chosen Sell All and entered a share amount in the Amount field - *You cannot specify a share amount with a Sell All transaction.*
6. User has chosen Exchange All and entered a share amount in the Amount field - *You cannot specify a share amount with an Exchange All transaction.*
7. User has chosen Exchange All but the Exchange Field is empty - *You must specify an Exchange To fund.*
8. User has not made a choice for the Solicited/Unsolicited field - *You must answer the transaction recommendation question.*

13.10 Fund Trading Recap Page Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

1. User has not checked the prospectus statement box. - *You have not checked the prospectus statement box. You may not complete the trade unless you agree to this statement.*
2. User had not entered a trading password - *You must supply your trading password.*
3. User has entered an incorrect trading password - *The password you have entered is incorrect. Please enter a valid password.*

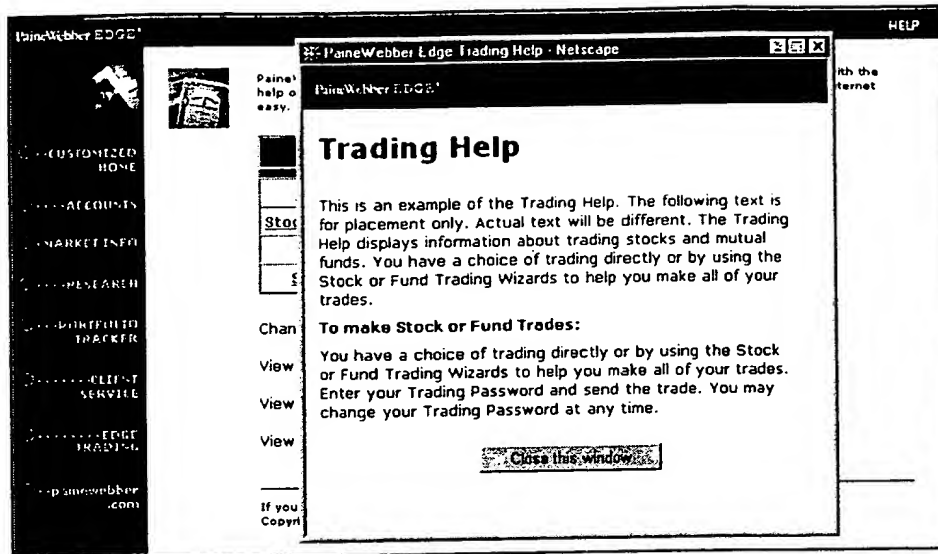
13.11 Fund Trading Wizard Errors

Errors will be generated should the user input invalid information, or not supply information within a mandatory field. The conditions that will trigger an error and the messages that will be supplied are:

1. Mutual Fund Field Empty - *You must choose a fund you wish to trade.*
2. User has chosen Dollars for a buy or sell transaction but the Amount field is empty – *You must supply a dollar amount that you wish to trade.*
3. User has chosen Shares for a buy or sell transaction but the Amount field is empty – *You must enter the number of Shares you wish to trade.*
4. Dollar Amount field is a negative number – *You must enter a valid number in the Amount field.*
5. Share Amount field is a negative number – *You must enter a valid number in the Amount field.*
6. User has not made a choice for the Solicited/Unsolicited field – *You must answer the transaction recommendation question.*
7. User has not checked the prospectus statement box. – *You have not checked the prospectus statement box. You may not complete the trade unless you agree to this statement.*
8. User had not entered a trading password – *You must supply your trading password.*
9. User has entered an incorrect trading password - *The password you have entered is incorrect. Please enter a valid password.*

14 Help System

14.1 Help System



□ Figure 43 - Help Page

14.2 Help System Content

EDGE trading will need a help system, which should consist of the following:

1. Glossary of Terms. Every term that appears within the trading section will be defined. The terms will appear in a pop-up help box. When the user clicks a term the help window opens to that position. These will also be an index of all terms.
2. Process Help. There will also be a simple "how to" help for each trading page. This is separate from the Glossary of Terms and will be implemented in a separate window.
3. Frequently Asked Questions (FAQ). Reality recommends that a FAQ page be created for both fund and stock trading. The content is to be determined, but the objective is to cut down on the tech support calls that trading will engender.

14.3 Help System Authoring

Help will need to be authored by a joint Reality-PaineWebber team, as was done in the original EDGE release. The tasks, schedule, and team members are to be determined.